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ABSTRACT

This is Volume II-B of a study to describe federally-subsidized state and county child day care management systems and to report how well the management systems work. Information is reported in terms of nine subsystems: (1) Needs Assessment, (2) Planning and Implementation, (3) Evaluation, (4) Information and Referral, (5) Client Eligibility, (6) Licensing, (7) Monitoring, (8) Training and Technical Assistance, and (9) Fiscal Management. This volume presents data on the following states: Nevada, New Hampshire, New Jersey, New Mexico, New York, North Carolina, North Dakota, Ohio, Oklahoma, Oregon, Pennsylvania, Rhode Island, South Carolina, Tennessee, Texas, Utah, Vermont, Virginia, Washington, West Virginia, Wisconsin, and Wyoming. (MS)

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# CHILD DAY CARE MANAGEMENT STUDY

## Volume II-B
## State Summaries

## NEVADA - WYOMING

August 1976

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# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: State administered. However, for child day care, the state office and five other local administrative entities operate autonomously in most areas of program management.

Description of Administrative Structure: The Department of Human Resources (DHR) is the designated state services agency and has delegated the management of the state's Title XX program to one of its six program divisions, the State Welfare Division. Responsibility for managing all of the social services provided by the Welfare Division (including child care) is vested in the Program Services Unit (PSU), one of several units within the Services Section of the State Welfare Division.

A Child Care Services Division Policy Board functions as the State's 4-C's committee. The Board's policies are implemented by the Child Care Services Division of DHR, which serves primarily as a mechanism for child care coordination and advocacy.

Fiscal management is one of four centralized services within the State Welfare Division's Management Services Unit (MSU). The MSU's Finance and Accounting Section determines all federal matching monies and issues all reimbursements for child care services.

Responsibility for the licensing of day care facilities is split among six separate administrative bodies. The City of Las Vegas, Washoe County, Clark County, the City of North Las Vegas, and the City of Henderson are each responsible for the licensure of day care facilities within their administrative boundaries. The State DHR Health Division is responsible for day care licensing in Carson City (the state capital) and fifteen remaining counties.

The nature of population dispersal throughout the state of Nevada is directly relevant to understanding the distribution of licensing responsibilities. Thus, the vast majority of the state's population is concentrated in two urban counties (Clark County, which includes Las Vegas and North Las Vegas, and Washoe County, which includes Reno). The remaining fifteen counties comprise the bulk of the state's territory but a low percentage of its population.

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The Nevada site visit was conducted in January, 1976 and involved interviews with five different officials in the state office and four staff members in the local office in Washoe County.

As a result, the State Health Division is responsible for licensing 9% of the day care facilities, Las Vegas 34%, Washoe County 27%, Clark County 25%, and the cities of North Las Vegas and Henderson 4% and 1% respectively. Each of these licensing entities is empowered to establish its own licensing regulations, but these must meet or exceed State Health Division standards. Licensing regulations developed by local jurisdictions are thus subject to review by the Health Division. The Child Care Services Division also cooperates with Health on the reviews.

Statewide, there are 9 district and 5 sub-district Welfare Division Offices. These 14 offices are each comprised of a District/sub-District Office Manager, social workers, and eligibility specialists. The direct provision of social casework services is the major responsibility of social workers in these offices. These workers also have responsibility for social service eligibility determination and for approving in-home care providers.

## 1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

| | Expenditures FY 74-75 | Allocations FY 75-76 |
|---|---|---|
| Total Social Services Funds (Titles IV-A/XX) | $4,003,062 | $7,115,000* |
| Total Child Care Funds (Titles IV-A/XX) | 167,026 | 219,920* |
| Percentage of Total Social Services Funds Allocated to Child Care | 4% | 3% |

*These and all subsequent FY '76 dollar figures are based on first quarter expenditures (for direct and indirect services for child day care) for FY'76, projected for the remainder of the fiscal year, exclusive of administrative costs.

Planned expenditures for day care services operating under purchase of service contracts ($164,000) were not included in the above projection, because the contracts had not been let at the time first quarter expenditures were compiled. Since the first quarter, POS contracts with the Clark County Child Welfare Board and Economic Opportunity Board have been signed.

While the total child care allocation has been increased by about $53,000, the percentage of social service funds allocated to child care has declined from 4% in FY '75 to 3% for the current year. Child care is not one of the priority services in the state of Nevada. Institutional care for children, homemaker services, and foster care for children constitute the top priority social services with each programmed to receive approximately 12% of the state's total social service monies.

Resources allocated to child day care for FY '76, in addition to Title XX funds, include funds from WIN and Vocational Rehabilitation for a total of $309,920. The total resources expended in FY '74 is unknown.

The number of Full-Time Equivalents (FTE) involved in child day care management is approximately 3 FTE. The proportion of total social service staff time allocated to child care is not available.

1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Sanctioned Providers | Number FFP Children (per ) | Actual Expenditures FY 74-75 | Anticipated Expenditures FY 75-76 |
|---|---|---|---|---|
| Public Centers | none | not available by provider type | Not available by provider type | |
| Private * Centers | 141 | | | |
| Group Day Care Homes | 14 | | | |
| Family Day Care Homes | 239 | | | |
| In-home Care | unk. | | | |
| TOTAL | 394 | 2,736 | $200,211** | $309,920 |

*Centers include Nevada's licensing designations of infant and toddler nurseries, pre-schools, private kindergartens, specialized facilities for the developmentally disabled, and group recreational facilities.

**Includes WIN day care expenditures but excludes the Vocational Rehabilitation Division's day care expenditure (unknown) and administrative costs.

The majority of state-supported recipients are ADC-WIN children.

## 1-4 INFORMATION SYSTEM

Nature of Records:

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | yes | family | local |
| Standardized social service forms | yes | family | local and state |
| Computerized records | yes | family | state |

Extent of Data: Computerized records contain all the required Title XX data components. Standardized social service forms contain all elements except income maintenance information.

Data Aggregation: Aggregation of data occurs only at the state level. The Nevada State Welfare Division has had a computerized social service reporting system for approximately the past four years. The forms were revised to meet Title XX reporting requirements and were in use at the time of the site visit.

## 1-5 STATUTES

Statutes pertaining to child day care operations include licensing regulations, and state and local fire, health and zoning ordinances.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

According to state staff, the chief programmatic problem is that the Nevada State Legislature has been reluctant to appropriate funds for day care services, thereby limiting the federal matching monies available to expand the program. Day care services have been made available only to recipients of WIN, Vocational Rehabilitation clients and Protective Services populations in the rural areas because the Legislature has appropriated funds for those specific purposes only.

Formerly, day care for children needing protective services was only available in the rural areas of the state. This year, the service was extended to include the two urban counties and thus became available statewide. However, Washoe County's Board of Commissioners refusal to accept Title XX funds for that purpose, (thereby eliminating protective day care services in that county for the program year) was identified as a problem.

WIN staff reported that the demand for child care from their clients is much lower than it might be if there were increased opportunities for WIN parents to secure OJT. Also, since Nevada does not pay child care when a WIN recipient goes to a job interview, they felt that ADC-WIN recipients may miss many potential job opportunities.

Respondents pointed to the staff's resourcefulness in obtaining child care services for parents, in light of the legislature's diminution of resources for child care, as the program's major strength. It was also pointed out that day care costs are a disregard for ADC clients, thereby enabling this service population to have additional money to spend on other needs.

# 2. NEEDS ASSESSMENT

## 2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: DHR Welfare Division personnel, including PSU staff, were responsible for developing the needs assessment for Title XX.

No child day care needs assessments had been conducted prior to Title XX.

Staffing: The completed needs assessment required approximately 6 1/2 person-months of effort over a two-month period of time.

## 2-2 PROCESS

Scope: The Nevada study covered all social services including child care. Services availability was included, but no quantifiable estimates of client need were developed. Due to time constraints, the study was admittedly less extensive than desired.

| Sources of Information | Extent Utilized | Strategy |
|---|---|---|
| Documentary | Utilized to some extent | '70 Census data |
| Agency Personnel (including all social service divisions in the Dept. of Human Resources) | Extensively Utilized | Agency personnel were asked to complete two forms, one on current services and one on services needed. They were also invited to submit proposals for using Title XX funds. |
| Service Providers | Extensively Utilized | A service needs questionnaire was sent to private and public providers. 55 responded, 56 did not. |
| Consumers and potential consumers | Extensively Utilized | A survey of social service needs - on which respondents were asked to check up to 5 needed services - was distributed to consumers through social service district offices, social security offices, food stamp offices and other agencies. 3,478 persons completed this summary. |
| General Public | Utilized to some Extent | Written comments were received from the general public in response to a Title XX display ad. |

## 2-3 RESULTS/UTILIZATION

No specific numerical indices of need were generated in relation to client and service parameters.

Instead, needs assessment data was used to rank priority service areas. Child day care ranked tenth in Clark County (Las Vegas) and thirteenth in Washoe County (Reno). Child neglect and abuse was ranked second in these two populous counties and first in the remainder of the state.

Day care service dollar needs were also determined in the course of planning but could not be implemented because the social service budget had been adopted by the state legislature prior to the Title XX needs assessment and planning process.

Degree of Integration into the Planning Process: As noted, the impact of the needs assessment was diminished because the DHR budget had been fixed by the state legislature in January 1975 for two fiscal years: July 1, 1975 to June 30, 1977.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION AND LEVEL OF EFFORT

On-going Planning: Prior to Title XX, the Family and Children's Services and the Adult Services Unit were responsible for program planning activities. Since there was no requirement for the development of a highly detailed State social service plan before Title XX, on-going planning was characterized as less formal than Title XX planning.

Title XX Planning: The Deputy Administrator of the DHR Welfare Division was in charge of Title XX planning and was responsible for coordinating efforts with the other divisions in the Department of Human Resources.

Staffing: The effort took place over 3 1/2 months time and required approximately 30 person-months for completion.

### 3-2 PLANNING PROCESS

WIN and IV-B planning were interfaced. While the needs assessment established service priorities, the social services budget allocation already established by the state legislature predetermined the total social service dollar allocation. Planning was primarily directed toward distributing dollar allocations among the many social service programs, based on identified service priorities. As a result of public feedback, many additional services were added to the final plan including the purchase of service for a day care program from the Economic Opportunity Board of Clark County.

## 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types & Numbers | Comparison with Prev. Year |
|---|---|---|---|---|
| Total # to be served | yes | yes | 2,561 children | more |
| Population Categories to be served | yes | no | AFDC-WIN*, non-WIN; SSI; Income eligibles certain protact. services clients | income eligibles added |
| Priority Population Categories | no | no | -- | -- |
| Service Provider Types | no | no | -- | -- |
| Special Provider Attributes, (e.g., hours of service) | yes | yes | hours of service for POS contractor | UNK |
| Geographic Areas | yes | yes | 3 areas - Clark Co.; Washoe Co.; and "other" | same |
| Dollars Allocated for Service | yes | yes | $360,343 prorated for 12 mths.* | more |

*Includes all direct and indirect day care service covered in the Plan; the figure is based on total dollar allocations included in the final plan rather than upon current first quarter expenditures.

Planned Organizational Changes: The current DHR Program Services Unit was formed by the merger of the pre-Title XX Adult Services and Family and Children's Services Units. A Welfare Division Program Operations Unit was formed to handle added administrative tasks. In addition, the Director of the WIN program was transferred out of the Family and Children's Services Unit to a separate unit with direct responsibility to the Deputy Director of the Welfare Division.

## 3-4 UTILIZATION/IMPLEMENTATION

The DHR Vocational Rehabilitation Division substantially increased the number of its clients eligible for day care. This was a direct result of the infusion of Title XX money. In addition, the increase in monies for day care enabled the state to expand protective day care services to the two urban counties (Clark and Washoe), although the latter refused to accept the funds for that purpose (see "PROBLEMS" section of OVERVIEW for more detail).

## 4. EVALUATION

No comprehensive statewide child day care evaluations have been conducted.

However, during FY '74 the Welfare Division utilized state funds matched with federal IV-A funds to provide day care for young mothers wishing to finish high school. The Welfare Division conducted an impact evaluation on selected program participants which revealed the project had been successful in meeting most of its objectives. Unfortunately, the state legislature failed to appropriate additional funds for the following fiscal year and, as a result, the program was discontinued.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING INFORMATION AND REFERRAL SERVICES

While the state's Title XX Plan designates $792,891 (for 21 months) for multi-program social services information and referral, no department or bureau is specifically labelled Information and Referral.

In the two large district offices, Reno and Las Vegas, there are Intake Units providing information and referral services on all types of social services. In the small district offices, an Intake worker, on-duty at all times, provides this information. In addition, all caseworkers providing services on on-going planned services cases give counseling, information and referral relating to child day care services. Clients enrolled in the WIN or Vocational Rehabilitation program receive child care information and referral from their respective workers

### 5-2 PROCESS

Assembling Information: Lists of day care providers within their jurisdictions are compiled by the DHR Health Division and the other five licensing agencies (Washoe and Clark counties and the three other incorporated municipalities in the state). The Child Care Services Division also maintains a statewide registry of licensed providers.

| Provider Type | Systematized | | Freq.of Update | | Information Completed | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | State | District (Washoe Co Welfare Dept.) | State | District | Ages | Hrs. | Cost | Avail. | Capacity |
| Centers | Yes | Yes | yrly | monthly | yes | yes | no | yes | yes |
| Homes | Yes | Yes | yrly | monthly | yes | yes | no | yes | yes |
| In-Home | No | No | sporadic | sporadic | no | no | no | yes | no |

Disseminating Information: There is currently no system for disseminating the information compiled by the aforementioned personnel. However, the state is in the process of devising a data system for this purpose. The vast majority of the state's child care clients are enrolled in WIN or in Vocational Rehabilitation programs. Consequently, individual service workers in each of these respective programs play an important role in disseminating information to these clients. Other inquiries for child care information are handled by Intake workers or caseworkers. The information, in either case, is derived primarily from the worker's knowledge of local providers and is usually passed on verbally. No outreach activities are undertaken.

Assessing Client Need/Referral and Follow-up: District level social service workers have the responsibility for assessing client child day care needs. The major factors in making the assessment are the availability of existing resources and the child's developmental level.

After the worker has provided the parent with a list of appropriate providers, the parent makes the final selection. Subsequent to child placement, the worker follows up to determine whether services were obtained (no standard time limit is specified by the state). Unless the parent contacts the worker, no other follow-up actions are taken.

## 5-3 RESULTS

Data on child care referrals is not available statewide or in Washoe or Clark Counties.

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

Eligibility policies are established by the state DHR Welfare Division. District level WIN, Vocational Rehabilitation or social service workers are responsible for actual client eligibility determination. Local social service workers and contracted providers may both secure completed application forms and documentation from their prospective clients.

### 6-2 POLICY PROVISIONS

Eligible Population Categories: The following population categories are eligible for state-supported day care services:

- AFDC-WIN
- Vocational Rehabilatation Division clients satisfying the additional conditions that they qualify as AFDC (non-WIN) or SSI recipients or income eligibles earning less than 63% of the state median income ($777/month for a four person family).
- Children requiring protective services whose parents earn 63% or less of the state median income.
- AFDC-non-WIN, SSI, Medicaid, and income eligible persons (at 63% or less of state median) not qualified to receive services from the Vocational Rehabilitation Division are eligible to receive services purchased from the Clark County Child Welfare Board.

The following population categories are eligible for counseling and assistance in arranging for day care but not for direct day care services (except in Clark County):

- Persons not enrolled as participants in the WIN or Vocational Rehabilitation programs who are either AFDC recipients, SSI recipients, Medicaid recipients or income eligibles at 63% or less than the state median income ($777/month or less for a four-person family).

Other than the federal requirement that 50% of the service population be AFDC or SSI recipients, no population priorities have been designated by the state of Nevada.

Revisions Since the Passage of Title XX: None.

Materials to Ensure Uniform Interpretations: A social service manual has been developed and distributed to all social service workers.

## 6-3 PROCESS AND VOLUME

Applications: Standardized forms are in use throughout the state. They are secured by the appropriate social service worker or may be secured by day care providers operating under purchase of service contracts.

The total number of applications for social services and the total number of applications for child day care services are not available on a statewide basis. The total number of applications for social services in Washoe County in 1975 was 10,279. The total number of applications for child day care services is not available.

Eligibility Determination and Verification: The process for service eligibility determination is as follows: When an individual makes application for service directly to the Welfare Division, his eligibility is determined by the Intake Worker. When eligibility has been established, the case is referred to an on-going service unit or worker. If an individual makes application to a provider agency, the provider agency secures the application and necessary documentation and forwards it to the local district office where a social service worker makes the final eligibility determination. The only exception to this procedure would be if a case already receiving planned services from the Welfare Division applies for service from a provider agency. In that situation, the eligibility determination would be made by the on-going service worker already assigned to this case.

For AFDC-WIN clients, eligibility determination consists of an initial interview and a routine cross-check of income maintenance and WIN records. For AFDC non-WIN participants applying for services from contracted providers in Clark County, an income maintenance records cross-check is also used to verify applicant status. For potentially eligible Vocational Rehabilatation clients (AFDC non-WIN, SSI, and income eligibles), documentation of participation in an employment-directed program is required. Additional income validation through wage stubs, cancelled checks or employer verification forms is required for Vocational Rehabilitation applicants seeking services as income eligibles.

Income eligibles who have lost their job or are no longer in training that leads to a job become ineligible for government-supported day care.

The time lapse between application completion and determination of eligibility ranges from four days to thirty days. Determination for ADC-WIN and clients applying for services from contracted providers tend to require the minimum time, while income eligibility determination for Vocational Rehabilitation clients may require the full thirty days.

Quality Control: Eligible clients are responsible for notifying social service workers of any changes in eligibility status. In addition, a special Social Services Policy Committee is currently working to develop improved methods of monitoring changes in client status for all social services.

Redetermination of Eligibility: Eligibility is redetermined every six months. When clients are found ineligible, services are terminated and clients informed of their right to a fair hearing. In Washoe County, district office personnel indicated that those who are found ineligible are given informal assistance to locate affordable care.

Appeals: No child day care service appeals have been made in the past year.

## 6-4 PARENT FEES

No fees are charged. Those qualifying for state-supported day care are provided services without charge.

# 7. LICENSING

## 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility:* The state DHR Health Division develops licensing regulations which serve as statewide standards. The Division is responsible for enforcement and implementation of its licensing regulations in all areas other than Clark and Washoe Counties. Health Division "surveyors" are responsible for actual licensure.

Day care facilities in Clark and Washoe Counties are licensed independently by one of five political jurisdictions, including Washoe and Clark Counties and three cities within the latter. Each of these five jurisdictions develops its own day care licensing regulations, which must meet or exceed standards set by the State Health Division. Each county or city, nonetheless, implements and enforces its own regulations.

In Washoe County, the County Welfare Department is the agency responsible for the unincorporated county areas; a licensing social worker in the County Welfare Department is assigned to perform the actual licensing of providers. In Clark County, the Las Vegas City Licensing Department is responsible for Las Vegas; the North Las Vegas City Licensing Department handles North Las Vegas; and the Henderson City Licensing Department covers Henderson. The Clark County Welfare Department is responsible for the remaining unincorporated areas in the county.

Staffing: The State Health Division employs surveyors that spend approximately 2/3 FTE licensing day care facilities.

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* The following chart illustrates the way in which licensing responsibility is distributed among local jurisdictions in Nevada:

| License Required From | Percent of Licensed Day Care Facilities | Number of Facilities |
|---|---|---|
| 1. Nevada Health Division (for Carson City and 15 rural counties) | 9% | 35 |
| 2. Clark County | 25% | 97 |
| 3. City of Las Vegas | 34% | 134 |
| 4. City of North Las Vegas | 4% | 17 |
| 5. City of Henderson | 1% | 5 |
| 6. Washoe County | 27% | 106 |
| TOTAL | 100% | 394 |

In Washoe County, one worker in the County Welfare Department, covering about 27% of the statewide day care providers, spends over 50% time at day care licensing. The worker's remaining time is spent monitoring and providing some technical assistance to licensed providers.

The staff allocated to child day care licensing in Clark County is approximately 2.4 FTE. They are responsible for about 25% of the statewide facilities.

No minimum qualifications are listed for state licensing surveyor; however, a college education and some licensing experience are preferred. Currently all Nevada surveyors have a college education. On-the-job training at an out-of-state university is available. The training focuses on institutional licensing techniques, but does not include training for child day care licensing.

Washoe County requires a B.A. and some experience in social work or human services. There is no regular on-the-job training.

## 7-2 STANDARDS

State Health Division licensing standards were updated in January, 1975. The draft was developed jointly by a Health Division surveyor, a technical writer, and personnel in the Child Care Services Division. Standards were based on FIDCR, a comparison of approximately 10 other state's regulations, and several interviews with providers. The state standards were adopted by the Health Division's policy body, the State Board of Health. The five local licensing entities have the authority to develop their own standards. These local agencies were required to make their own licensing regulations as stringent as those of the State Health Division.

Washoe County is currently redrafting its own regulations in consultation with local fire, health, and building authorities and the state's Health Division representative. Copies of the draft regulations were sent to all child care centers and the local associations of child care providers. Public hearings will be held by the County Board of Commissioners before the regulations are adopted. The anticipated date of implementation is late spring, 1976. Clark County is also in the process of redrafting its standards (as is the City of Henderson). The City of Las Vegas has adopted revised regulations which have been approved by the State Board of Health.

Content of Standards:

Staff:Child Ratios

| Ages | Ratios |
|---|---|
| **Centers:** | |
| 6 weeks to 9 months | 1:4 |
| 9 months to 18 months | 1:6 |
| 18 months to 3 years | 1:8 |
| 3 years and older | 1:10 (for 1st 20 children)<br>1:15 (if greater than 20) |
| **Group Day Care Homes:** | |
| Infant to 2 years | 2:3 |
| over 2 years | 1:6 |
| **Family Day Care Homes:** | |
| A 1:6 ratio with no more than 6 including caretaker's own children.<br>No more than two children under 2 years of age. | |

These standards, while set by the State Health Division, serve as minimum standards for all localities including those licensed by other agencies. Infants may receive day care in the same facility as older children, but they must be cared for in a distinct part of the facility and have a separate staff.

The standards for centers, family day care homes, and group day care homes also include the following components:

- Facilities standards
- Educational component
- Health component
- Nutrition component
- Staff training component
- Parent involvement component
- Administration component
- Evaluation component
- Discipline

Although the various localities must meet State Health Division licensing standards, local regulations developed in Washoe County reflect the autonomy of each locality in setting standards that meet local needs. Local Washoe County standards reflect the State format and also contain additional local safety and building requirements. The regulations are flexible enough to allow providers to create day care programs especially suited to the different work hours of Nevada parents who hold nocturnal jobs in local casinos. For example, Washoe County staff indicated that one center which cares for children whose parents work during the night conducts a full day care program during the night, keeping the children active while the parents work. Then, when parents return for their children in the morning, both parents and children are ready to assume the same sleep schedule.

Comparison of Standards and FIDCR: Nevada standards for staff-child ratios exceed FIDCR in one category - the required ratio for infants through two year olds in group day care homes (FIDCR specifies a 1:4 ratio for children in that age range). Otherwise none of Nevada's minimum standards for staff-child ratios exceed FIDCR.

Nevada does not require a social service component. The state health component does not require as frequent child health evaluations as does FIDCR, although there is annual TB check-ups required of the staff in Nevada. Regular supervision of the children's health by a physician is not mandated, although infant and toddler nurseries require monthly evaluations by at least a registered nurse. Nevada's parental involvement component matches FIDCR standards except that no policy advisory committee is required by the state. Nevada's education, evaluation, staff training, and facilities components compare favorably with FIDCR.

While there is no state FIDCR certification process, each individual caseworker has the responsibility for at least attempting to determine if requirements are met prior to the authorization of payment. A formal certification process is currently being developed for Clark County. Through a purchase of service contract with the Economic Opportunity Board of Clark County, an individual will be employed who will have the responsibility of certifying facilities for compliance with the Federal Inter-Agency Day Care Requirements. Neither state health nor county personnel could estimate the number of providers who were willing/able to comply with FIDCR.

Respondents at the state level indicated that meeting state and/or FIDCR staff requirements is a particular problem in rural areas with low population. Officials at the state and local level both felt that the state should provide some health supervision by a physician in all facilities. Currently, children are checked upon admittance and annually thereafter.

## 7-3 SUMMARY OF ACTIVITIES

The following chart pertains to all licensing agencies and providers in the state:

| Provider Type | Sanction Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total # | # Sanctioned | # Disq. | Planned | Actual |
| Public Centers | None | none | n/a | n/a | n/a | Not Available since regulations have been in effect less than 1 year. |
| Private Centers | License | UNK | 141 | 0 | annual | |
| Group Day Care Homes | License | UNK | 14 | 0 | annual | |
| Family Day Care Homes | License/ Approval* | UNK | 239 | 0 | annual | |
| In-home | Approval** | unk. | unk. | unk. | unk. | |

*State standards require no license for family day care homes serving four children or less. In such cases, providers are subject to an approval process.

**In-home care is approved by the social worker assigned to individual clients. The provider receives a "mother's aide certificate."

Because six agencies are involved in statewide facilities licensure, (see footnote - chart in section 7-1) data, according to state respondents, is rarely aggregated nor is it often up to date.

Fees for Licenses: Licensing fees of at least 50¢ are charged for each child to be cared for in centers and homes each year. Clark County and its subdivisions require substantially higher fees.

Content of Licenses: State Health Division issues one standard license for all providers which includes:

- Name and address of provider
- Category of care
- Number of children to be served
- Date issued, date of expiration
- Signature of provider and of State health officer

The Washoe County Welfare Department issues one standard license which includes the same items as the state, plus the following:

- Other limitations on care, (e.g., age and sex of children to be cared for).
- Signature of the County Welfare director, but not that of provider.
- Notice that violation shall be grounds for revocation or suspension of the license.

## 7-4 LICENSING PROCESS

Areas of Investigation: The State Health Division licensing study emphasizes the physical characteristics of a facility, and includes a review of the proposed plan of care and a management plan for all licensed providers. The Washoe County Welfare Department, in addition, follows-up character references of the potential provider, and visits to explain county standards. Both State and local agencies may also request fingerprint clearance. All licensable providers are subject to this process.

Extent and Nature of Licensing Process: All providers undergo an initial licensing study, make application, pay a fee per child to be enrolled, and are inspected by fire, health, and building departments. The length of time required to complete a licensing study varies according to the licensing agency. A decision to grant full licensure, provisional licensure or to deny licensure must be made by the Health Division within 30 days of the date of study initiation. Providers may, however, require six months to one year to go from provisional to full licensure. 60 days is usually required by Washoe County to complete a licensing study. Completion of medical reports on provider staff and the installation of physical improvement requirements (especially sprinkler systems) impede the swift issuance of licenses by the State Health Division. No regular follow-up is conducted by either jurisdiction between licensure and renewal.

Provisional Licenses:

State - The State may issue a provisional license for 90 days. These can be issued more than once if state licensing surveyors think it is advisable.

Washoe County - The County may issue a thirty-day provisional license only to new facilities. In fact, the provisional status often exceeds 30 days because physical improvements take longer to make. For those existing facilities which are out of compliance, a new set of follow-up inspections is scheduled to check compliance with no mandatory time limits specified.

Revocations: For providers licensed by the State Health Division or the Washoe County Welfare Department, if violations are flagrant, the regulating agency serves notice that it intends to revoke the license. The action may be appealed. In both cases, the local Board of County Commissioners hears the appeal and makes the final decision. No revocations have occurred in localities licensed by the State Health Division. Information on revocations was not available in Washoe County.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

State: The State Health Division's Bureau of Health Facilities is responsible for monitoring the day care facilities they license (i.e., Carson City and rural Nevada) for licensing compliance.

Local: The five local agencies are responsible for monitoring (for licensing compliance) the facilities they regularly license. In Washoe County, the licensing worker in the County Welfare Office is responsible for monitoring.

In addition, service workers are required to evaluate the needs of each child and the available resources and to monitor the continuing adequacy of the day care plan.

No FTE estimates are available for the State or Washoe County.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

| Provider Type | By Whom Monitored | Percent Monitored | | | Frequency | Av. Time Per Unit |
|---|---|---|---|---|---|---|
| | | Of All Sanctioned | Of All Serving FFP's | Of All Contracted | | |
| Centers and Homes (9% of all statewide licensed facilities) | State Health Division, Bureau of Health Facilities | 100% | 100% | 100% | Quarterly | UNK |
| Centers and Homes (25% of all statewide licensed facilities) | Clark County Welfare Dept. | 100% | 100% | 100% | Every 6 wks. | UNK |

There were no monitoring activities reported in Washoe County (responsible for 27% of the state's licensed facilities) at the time of the site visit. Previously, one visit/year was conducted, but that was for re-licensing not monitoring purposes. However, the Washoe County Welfare Office has planned to expand its monitoring activities to include four provider visits annually. Staff in the State Welfare Division, on the other hand, reported that Washoe County had conducted quarterly monitoring of all facilities.

## 8-3 PROCESS

Areas covered by monitors from the State Health Division's Bureau of Health facilities include:

- Quality of the physical facilities
- Facilities sanitation
- Staff-child ratios
- Health components
- Nutrition components

The visits are made quarterly. An itemized checklist is used to guide site monitors.

While site visits are scheduled quarterly, the Bureau of Health Facilities' monitoring strategy is to make the visits unannounced.

## 8-4 RESULTS

No results were available from current state or local monitoring efforts at the time of the site visit. Washoe County respondents stated that under their previous monitoring system (actually a relicensing study), the regulation most violated was the staff-child ratio, which is more stringent than the standards set by the state.

The State Bureau of Health Facilities plans to follow-up on their activities on a quarterly basis. No follow-up actions had as yet been planned in Washoe County.

## 9. TRAINING AND TECHNICAL ASSISTANCE

Staff Development: A specialist in the State Welfare Division's Program Services Unit was designated, at the beginning of the Title XX program year, to provide training and technical assistance to all social services staff including child care personnel. General staff training on Title XX, which included day care, had been given statewide by this specialist by the time of the site visit. No other staff development activities were reported.

The amount of funds budgeted by the Welfare Division for all day care staff development activities cannot be broken out of the salaries and training funds allotted for all Title XX staff development activities.

Provider Training and Assistance: The State Child Care Services Division has assumed responsibility for developing a voluntary self-evaluation test for all willing providers. After key provider needs are identified through the test, the Child Care Services Division will attempt to offer relevant T & TA to meet these needs. This program was not yet underway at the time of the site visit.

The major form of on-going assistance to providers consists of district social service workers showing providers how to fill out child care billing forms or locating child care manuals for provider enrichment.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION AND LEVEL OF EFFORT

State All child care fiscal management functions are performed within the State Welfare Division's centralized Management Services Unit by the Finance and Accounting Section. It is responfor all social services including child care.

Function: Fiscal and program personnel are separate. The fiscal staff develops fiscal procedures, pays all day care vouchers, calculates federal matching funds, audits, prepares federal reporting forms, and reviews the budget developed by day care program personnel.

Staffing: State fiscal staff totals ten. Approximately 1/3 FTE is allocated to child day care fiscal matters.

### 10-2 FISCAL MATERIALS

All relevant fiscal materials have been developed. Most have been prepared by the various program personnel within the DHR Welfare Division. All materials were rated good with no extremes.

### 10-3 INCOME SOURCES (FY 75-76)

| Source | % FY 74-75 | % FY 75-76 |
|---|---|---|
| Title XX/IV-A | $167,026 (UNK) | $219,920 (71%) |
| WIN | $ 33,265 (UNK) | $ 50,000 (16%) |
| CWS | - 0 - (0%) | - 0 - (0%) |
| Vocational Rehabilitation | UNK | $ 40,000 (13%) |
| TOTAL | UNK | $309,920 (100%)* |

* Does not include administrative costs. All dollar figures for FY '76 are based on projections from first quarter expenditures.

The local share for FY '76 is provided by the state of Nevada and Clark County which put up its own match for a one year contract.

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | Fy 75-76 Expenditures |
|---|---|
| Purchase of Service (contracted) | $ -0- * |
| Vendor Payments | $309,920 |
| Direct Provision/Operation | none |
| Client Purchase, with Social Service reimbursement | none |
| TOTAL | $309,920 |

*Nevada planned to spend a total of $287,000 for POS contracts for day care for the 21-month program year ($164,000 prorated for the 12 month fiscal year). Actual amounts are not included in the chart because the total is based upon first quarter expenditures. At that time, none of the contracts had been implemented although by the time of the site visit, a purchase of service contract with the Clark County Child Welfare Board had been signed.

Description of Funding Methods/Processes:

A. Purchase of Service/Vendor Payments: The state plans, in most cases, to purchase child day care services from local groups and agencies who then would sub-contract with local providers. As of May '76, contracts with the Economic Opportunity Board and the Child Welfare Board of Clark County had been signed.

Purchase of Service contracts currently contain all of the thirteen Title XX contract elements. Contract administration is the responsibility of the Welfare Division's Contract Services Office. It is ultimately responsible for the actions of prime and sub-contractors.

The dominant method of service provision for Title XX program year one is through direct vendor payments to centers, homes, and in-home care providers. A brief Agreement form is used for all vendor-paid providers. The state fiscal unit is responsible for managing and supervising the financial transactions occuring under vendor agreements.

The quality control procedures used in paying provider invoices are:

In the case of providers operating under purchase of service contracts...

- The purchase of service prime contractor receives a non-standardized invoice from the purchase of service provider.
- The prime contractor, after checking the voucher for accuracy, forwards the bill to the State Welfare Division fiscal unit which forwards payment to the provider within twenty to twenty-five days.

In the case of providers operating under a vendor payment arrangement...

- The provider's request for payment goes to the local Welfare Division office where the appropriate social worker and parent review the request and sign-off on it.

- If ok'd by the parent and worker, the invoice is sent to the state Welfare Division's fiscal unit for review.

- After approval, the fiscal unit pays the provider within two or three weeks.

B. Direct Provision: None

C. Client Purchase: None

10-5 RATE ESTABLISHMENT

Unit of measurement: Per slot and per child for a) full time (10 or more hours) b) part-time after school (up to four hours).

| Provider Type | Rates | | |
|---|---|---|---|
| | Basis | Average | Range |
| Centers | An analysis of necessary costs | $5.00 /day | $4-$6/day |
| Homes | An analysis of necessary costs | $5.00 /day | $4-$6/day |
| In-home Care | | $6/day | $2-$6/day |

Maximum rates permitted: $6/day/child

10-6 IN-HOME CARE

The state has established a maximum; i.e., up to $6/day for the first child and $2/day for each additional child, except for WIN which permits a $4.00/day maximum for each additional child. Payment may be made to relatives.

10-7 INCOME ELIGIBLES AND PARENT FEES

Income eligibles who earn up to 63% of the state median income may receive day care only if they are enrolled in a program leading to employment. Service is free to all those who qualify; thus no parent fees are collected.

10-8 DONATIONS

No donations were received during FY '75.

## 1. OVERVIEW

### 1-1 ORGANIZATION

Administrative Model - State Administered.

Description of Administrative Structure: Overall responsibility for Title XX administration is vested in the Department of Health and Welfare. The department consists of three program divisions including mental health, public health and welfare. Child care services are organized within the Welfare Division.

Within the Welfare Division, child care is administered under the Office of Social and Rehabilitation Services. Two of its bureau's (The Bureau of Child and Family Services and the Bureau of Social Service Contracts) are directly involved in managing child day care services.

The Bureau of Child and Family Services is responsible for overseeing the licensing function. A State Advisory Committee was utilized in the formulation of the licensing standards. Both the Bureau of Child and Family Services and the Bureau of Social Service Contracts are responsible for monitoring.

Fiscal management is a centralized service within the Office of Social and Rehabilitation Services and is performed for all bureaus within SRS.

At the state level, there are two child care consultants responsible for managing the state program. Statewide, New Hampshire's child day care program is administered through a series of 11 District Offices. A staff of approximately 15 full time equivalents are assigned to child day care. The child care consultants at the state level works closely with Child Care Workers assigned to each District Office. Briefly, the state level provides overall policy and supervision; the District Offices implement child day care services.

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The New Hampshire site visit was conducted in January, 1976. Interviews were conducted with staff in the state office and with local personnel at one site.

## 1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

| | Expenditures FY 74-75 | Allocations FY 75-76 |
|---|---|---|
| Total Social Services Funds (Titles IV-A/XX) | 8,759,860 | 12,150,515 |
| Total Child Care Funds (Titles IV-A/XX) | 2,200,000 | 4,002,762 |
| Percentage of Total Social Services Funds Allocated to Child Care | 25% | 33% |

The Comprehensive Annual Services Program Plan (CASP) for 1975-76 is a 9 month plan (October 1, 1975 - June 30, 1976). Figures shown in the plan for Social Services and Child Care are $9,135,726 and $3,009,596, respectively. These figures have been annualized by multiplying by a factor of 1.33. Although these figures incorporate anticipated expenditures for planning, reporting, and evaluation allocated across all services, they do not represent the total cost of administering the program.

Statewide, there are approximately 79 staff members assigned to the Bureau of Child and Family Services. Approximately 19% (15 workers) are assigned to child care functions.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Sanctioned* Providers | Number FFP Children | Actual Expenditures FY 74-75 | Anticipated Expenditures FY 75-76 |
|---|---|---|---|---|
| Public Centers** | 427 | UNK | NO BREAKOUT AVAILABLE | NO BREAKOUT AVAILABLE |
| Private Centers** | | | | |
| Group Day Care Homes | THIS CATEGORY NOT UTILIZED | | | |
| Family Day Care Homes | 600 | UNK | NO BREAKOUT AVAILABLE | NO BREAKOUT AVAILABLE |
| In-Home Care | UNK | UNK | | |
| TOTAL | 1,027 | UNK | $2,200,000 | $1,900,000*** |

*Includes all licensed, approved or otherwise sanctioned providers.

**Centers are defined as group child care either full-day or part day regardless of whether or not the service is known as a day nursery, a nursery school or kindergarten, a cooperative child development center, a day care center, a center for the develop mentally disabled, progressive school or any other facility which cares for seven or more children under the age of sixteen. Such day care facilities as defined may be privately operated or sponsored by a church, social agency, cooperative group of a community or by a public agency other than public schools.

***State personnel said that the discrepancy between the FY 75-76 Title XX child day care allocation and the anticipated expenditure has resulted from difficulties in the phase in to Title XX contracts.

1-4 RECORDS

Nature of Records

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | YES | Family | Local |
| Standardized social service forms | YES | Family | State |
| Computerized records | NO* | N/A | N/A |

*A computerized system is currently being installed.

Extent of Data: Narrative social service records and standardized social service forms are utilized. New Hampshire is currently implementing a computerized system. The information for narrative records and standardized forms was substantially complete.

Data Aggregation: Data is collected at the district level and forwarded to the state. New Hampshire is currently in the process of computerizing its records. Information is being entered on tape, and when the entire system is in place it is anticipated that it will meet present federal reporting requirements. At the time of the survey, the system was generating few reports and information was virtually inaccessible.

1-5 STATUTES

None other than statutes regulating licensing.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

Staff size was cited as a problem. Lack of funds for provider training and for training district workers were also cited.

It was reported that the enforcement of licensing standards and FIDCR were major problems.

In terms of organization, it was stated that the licensing of nursery schools should not be a function of the Division of Welfare and that further clarification of roles is needed between the Bureau of Social Service Contracts and the Bureau of Child and Family Services.

It was stated that the Bureau chief's committment to child care has contributed positively to the growth of the state program. Similarly, a close relationship with the state legislative committee on child care has also been helpful.

The small geographical size of New Hampshire was cited as a factor contributing to the development of close relationships with providers.

## 2. NEEDS ASSESSMENT

No formal or systematic needs assessment was undertaken

In lieu of a formalized needs assessment, and because limited statistical data was available, both historical precedent and the professional judgments of the Division of Welfare staff were utilized in generating numerical estimates of need. It was stated that this effort was inextricable from the planning process.

The point was made by several staff members that it is both futile and frustrating to assess needs when the state is not in a financial position to meet needs already apparent.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

On-going Planning: No state unit was specified as responsible for on-going planning prior to Title XX. It was reported however, that the state has been planning by objectives for all human services since 1973. This has consisted primarily of program planning, but administrative and budget planning were also cited.

Title XX Planning: A State Task Force assigned to the Division of Welfare was responsible for the development of the Title XX plan.

Throughout the planning process, the Task Force worked without knowledge of what state agency would be responsible for Title XX administration.

Staffing: The State Task Force consisted primarily of state personnel. Child day care staff provided input for the planning effort. State personnel said that the Title XX planning effort was more extensive and more systematic then previous planning efforts.

### 3-2 PLANNING PROCESS

The planning Task Force relied heavily on historical precedent and professional judgement in the development of the Title XX plan. The resulting plan generated a target population to be served, by population category and provider types. No special effort was undertaken for child day care services. This draft plan was then published.

Written comments were received from 191 agencies and individuals concerning the plan. Additional testimony was presented through a series of seven public hearings convened throughout the state. Where appropriate, the draft plan was revised on the basis of the comments and testimony.

The state is currently attempting to develop its evaluative, reporting, and planning capabilities so that future Title XX planning can be undertaken more precisely.

## 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types and Numbers | Comparison |
|---|---|---|---|---|
| Total # to be served | YES | YES | 2341 children | same |
| Population Categories to be served | YES | YES | AFDC/money payment - 741<br>AFDC/medicaid - 123<br>Income eligible (80%-SMI) - 1477 | same |
| Priority Population Categories | NO | NO | -- | -- |
| Service Provider Types | YES | YES | Family Day Care 170 (children)<br>Group Day Care 2131 (children)<br>In-home 40(children) | same |
| Special Provider Attributes (e.g., hours of service) | NO | NO | -- | -- |
| Geographic Areas | NO | NO | -- | -- |
| Dollars Allocated | YES | YES | 4,002,762 | more |

Planned Organizational Changes: The Division of Welfare is currently undergoing reorganization. The reorganization is establishing an Office of Planning and Policy Development as well as three program units, including Social Services, Medical Services, and Operations. Each unit is headed by an Assistant Director. The Assistant Director for Social Services has overall responsibility for child day care provision. The Assistant Director for Operations is responsible for an Eligibility Management System now being pilot tested. Eventually, this system will include Child Care eligibility information, and will, if successful, provide measures improving child care management. In addition, it will provide an identifier making it possible to aggregate client information on an unduplicated basis.

## 3-4 UTILIZATION/IMPLEMENTATION

The Planned Organizational changes are in the process of implementation.

## 4. EVALUATION

No systematic or formal statewide child day care evaluations have been conducted.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

The state has contracted with six private agencies to provide Information and Referral statewide. The six agencies, which do not provide direct services themselves, offer I & R for multiple services, including child day care.

At the local level, I & R is provided by workers in the District offices. An I & R unit manages the referral process together with child care workers, although it was stated that practices differ from district to district. It was reported that eventually the I & R unit within the district offices will handle all referrals so that the child care workers can be freed for more specialized functions.

Approximately $300,000 has been budgeted for I & R. There are no statistics available on the utilization of I & R services however.

### 5-2 PROCESS

Assembling Information:

| Provider Type | Systematized | Freq. of Updates | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hrs. | Rates | Avail. |
| Centers | No | Annual | Yes | Yes | Yes | No |
| Homes | No | Annual | Yes | Yes | Yes | No |
| In-Home | No | Annual | Yes | Yes | Yes | No |

There is no systematic process for assembling information on child care resources. Such information that has been collected however, is generally updated at the time of license renewal. It was stated that a process for systematic collection of resource data is currently in draft form and is being reviewed by District personnel. It is anticipated that the process will be in place by July, 1976.

Disseminating Information: Word-of-mouth, flyers, and to a lesser extent, the media are utilized to make the community aware of child day care services.

Assessing Client Need/Referral and Follow-up: District workers assess client needs both individually and in collaboration with other workers. Generally, the assessment of client needs includes consideration of a child's age, personality and developmental level, and health as well as attention to such factors as hours, cost, location of care, and parent preferences for type of care.

Generally, parents make a decision (and the child care arrangements themselves) from a list of several providers. If there are difficulties or unusual circumstances however, the worker may make the initial contact with a provider. There is no formal follow-up except in situations where a client has requested it.

## 5-3 RESULTS

No results were specified statewide or for the district visited.

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

Eligibility policies were established at the state level in accordance with Title XX guidelines. Generally, applications are secured at the district level by I & R workers, child care workers, and by providers within the districts. It was reported, however, that providers secure in excess of 50% of the applications. Once the applications have been secured, the eligibility determination is made at the state level.

### 6-2 POL[illegible] PROVISIONS

Eligible Population Categories:

- AFDC-WIN and Higher Education Program Participants.
- AFDC-non-WIN work and training
- Income Eligibles defined as:
  - Free care for families earning up to 46% ($519/mo) of the state median income.
  - Sliding fees for families earning from 46% to 80% of the state median income.
  - Full cost to families earning over 80% of the state median income.
- CWS clients are eligible for child care under Title IV-B.

Revisions Since the Passage of Title XX: No revisions were specified.

Materials to Ensure Uniform Interpretations: A Program Description Manual has been developed by the state and distributed.

### 6-3 PROCESS AND VOLUME

Applications: Standardized forms, developed by the state, are in use at the District level.

Applications are secured by district workers and by providers. No figures were available on the number of applications received, although district workers estimated that child day care applications were a significant proportion of the total.

Eligibility Determination and Verification: Both district workers and providers secure applications.

The district workers complete the application, and verify AFDC status and earnings. The completed applications are forwarded to the state.

For income eligibles, providers can complete the application. The provider verifies income and sets a fee according to a standardized schedule. The completed application is then forwarded to the state.

It was reported that providers can initiate a service before receiving confirmation from the state. Liability for error, however, is with the provider; the state does not reimburse for clients determined ineligible.

The state determination of eligibility usually takes place in a time well under 30 days.

Quality Control: Clients are asked to report to the provider any change affecting their eligibility status. The provider makes adjustments accordingly. It was stated that formalized quality control procedures are not in effect.

Redetermination of Eligibility: The redetermination occurs every six months which includes a complete redocumentation.

Appeals: Clients have the right to appeal, but no appeals were known to be filed.

## 6-4 PARENT FEES

Fees, on a sliding scale, are paid between 46% and 80% of the median income. The full cost of services is paid by persons earning above 80% of the state median.

## 7. LICENSING AND OTHER SANCTIONS

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The State Bureau of Child and Family Services is responsible for the development of licensing standards while district child care workers have responsibility for implementation. The district workers make recommendations for a final decision by a District level supervisor. It was reported that strong weight is given to the recommendation of the district workers.

Staffing: Each District office has at least one part-time worker allocated to the licensing function for an estimated full time equivalent of 4 licensing workers. In addition to licensing day care facilities, the workers are responsible for foster home licensing, adoption, and placement. Other child care duties include monitoring and the provision of TA.

An undergraduate degree is required for performance of the licensing function. Many licensing workers have specialties in early childhood education and/or experience in the field. All workers have attended licensing workshops.

### 7-2 STANDARDS

Standards Development Process: A Day Care Advisory Committee, consisting of professionals in the day care field, providers, legislators, and state staff, was formed to develop center licensing standards. The standards were reviewed by licensing workers in the field and published in 1972. The standards are currently being revised.

The standards for family day care homes and in-home provides were updated in 1971 and 1976 respectively.

Content of Standards:

Staff:child Ratios

Centers:

| Ages | Ratios |
|---|---|
| 0-3 | 1-4 |
| 3-4 | 1-10 |
| 4-5 | 1-15 |
| 5-6 | 1-18 |
| 6 & over | 1-20 |

(There must be a minimum of two persons on premises during hours of operation)

Group Day Care Homes: This category not utilized.

Family Day Care Homes:

No more than six children including the day care mothers own preschool children.

Additional Components of Standards: For centers, standards have been promulgated relative to play area and equipment, kitchen facilities, toilet and lavatory facilities, isolation facilities, health, accident prevention and emergency care, programming, transportation, and fire and safety.

For Family Day Care homes, standards incorporate requirements for the day care family, the home and equipment, fire and safety standards, and care of children.

Comparison of Standards with FIDCR: For centers, the staff:child ratios are less stringent than FIDCR, particularly for the older age grades. The staff:child ratio for family homes is also less stringent than FIDCR.

State personnel stated that rigid adherence to FIDCR would not allow the private sector to serve Title XX children. It was anticipated that the cost would be about $35-$40 per week per child. It was also felt that FIDCR would tend to segregate child care by income groups, with FFP children becoming "ghettoized," if not more flexibly interpreted.

State personnel felt that FIDCR was not specifically written for family homes and that further amplification was needed.

## 7-3 SUMMARY OF ACTIVITIES

| Provider Type | Sanction Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total# | #Sanctioned | %Disq. | Planned | Actual |
| Public Centers | License | 427 | 393<br>(34 pending) | UNK | 2 yrs. | 2 yrs. |
| Private Centers | | | | | | |
| Group Day Care Homes | THIS CATEGORY NOT UTILIZED | | | | | |
| Family Day Care Homes | License | 600 | 450<br>(150 pending) | UNK | 2 yrs. | 2 yrs. |
| Relative In-Home | Approval | UNK | UNK | UNK | Annual | Annual |
| In-home | | | | | | |

Fees for Licenses: No fees are charged.

Content of License: The license for both a Family home and centers includes:

- Date of Issue
- Period for which valid
- Number of children to be served
- Age range of children
- Category of license

## 7-4 LICENSING PROCESS

Areas of Investigation: A seven page checklist is used in completing a licensing study. The licensing study includes investigation of the physical characteristics of a facility, staff characteristics, the educational component, nutrition, health, verification of medidal clearances, extent of parent involvement, fire and health department inspections, personal references, transportation (if applicable), and zoning.

Extent and Nature of Process: Where a facility is being licensed for the first time the licensing worker inspects the prospective site with the provider and together with health and fire department inspectors, the State standards are interpreted to the provider. In these early visits, consultation is provided on program as well as equipment and the physical plant before beginning the licensing study. Once the initial inspection and consultation has been provided the licensing study is completed using a structured format.

Generally, the licensing for a center requires 4 or fewer visits while homes require 2 or fewer visits.

Conditional Licenses: A permit can be issued for one to six months to allow a child care worker to observe operations in a new center or to permit time to correct a violation that does not significantly affect health or safety.

Revocations: It was reported that the reasons for revocation are specific including neglect, abuse, lack of supervision, safety, sanitation and substantial violation of one or more licensing standards. Providers have access to an appeal procedure, but no revocations have been issued in the last year.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

Monitoring is the primary responsibility of the State Bureau of Child and Family Services and the Bureau of Social Service Contracts.

The state day care consultants monitor centers. District workers monitor family homes.

State personnel within the Social Service Contracts unit monitor on fiscal matters.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

| Provider Type | By Whom Monitored | Percent Monitored | | | Fre-quency | Av. Time Per Unit |
|---|---|---|---|---|---|---|
| | | Of All Sanctioned | Of All Serving FFP's | Of All Contrac-ted | | |
| Public Centers | State Day Care Consul-tants | 100% | 100% | 100% | Annual | Full Day |
| Private Centers | | | | | | |
| Group Day Care Homes | THIS CATEGORY NOT UTILIZED | | | | | |
| Family Day Care Homes | District Workers | UNK | UNK | 100% | Annual | 1/2 day |
| In-Home | Not Mon-itored | -- | -- | -- | -- | -- |

### 8-3 PROCESS

A thorough outline is used in monitoring visits. Areas covered in the monitoring effort include the physical setting, program content, management, and compliance with standards. Scheduled site visits is the main method utilized, but it was stated that telephone calls, unscheduled visits, and desk monitoring (of official forms) were also utilized.

8-4 It was reported that most contracted providers are in compliance. Compliance with staff:child ratios, staff training, and with health and safety codes were specified as the major areas of compliance difficulty.

When non-compliance is found a target date is set for achieving compliance and follow up is utilized to provide training and technical assistance.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The state child care consultants play the dominant role in providing training and technical assistance. It was reported that training and technical assistance is considered a highly important management function for which the state has inadequate resources to fulfill.

Consultation, referral, a newsletter, publications, films, and workshops were specified as the main methods of providing training and technical assistance.

Local: At the local level, the district child care workers provide training and technical assistance. In large part this results from monitoring visits and efforts to achieve compliance with state standards.

It is noteworthy that providers are required to specify a staff training plan and budget in their contract proposals. The provider is expected to log all training activities. This log is reviewed at the end of the contract year and staff are interviewed about training activities during the monitoring visit.

Staff Background: The state child care consultant has an M.A. in early child development as well as experience as a former center director. The background of staff at the district level was not specified. Some workers at both the state and the district level have attended the Day Care Institute of Tufts University in Massachusetts.

### 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amt. |
|---|---|---|---|
| State Staff | Regional Office | Consultation | UNK |
| Child care workers in district | State day care consultant | Site visits; licensing, interpretation of policy, handling difficult cases, etc. | UNK |
| | | Statewide staff training sessions; child development, requirements for day care etc. | UNK |
| State day care consultants | Tufts University | Annual seminars; licensing and regulation of child care programs | Annual |

## 9-2 ACTIVITIES

Provider Training and Assistance

| To whom | By whom | Description | Amt. |
|---|---|---|---|
| Providers | Coordinator of Daycare Headstart Training | Workshops dealing with topics selected by providers | 5-2 day workshops |
| Providers | District child care workers | Site visits; compliance with standards | UNK |

The state convenes 5 two day training workshops annually. Providers are polled to determine the topics to be addressed in the workshops. The workshops are open to all providers and have covered such areas as child development, administrative technique, and state regulations.

## 9-3 PROCESS

Methods utilized to identify T & TA needs include requests and identification by Day Care Directors, the state district child care staff, and as a result of analyses of needs. The group identified with the greatest need for T & TA was Family Day Care Homes.

## 9-4 RESULTS

It was reported that New Hampshire has developed a successful cooperative training effort staffed by Headstart and Day Care personnel. Currently, the state is attempting to also include special education staff in the training effort.

It was stated that there has been widespread support and participation in the statewide training effort.

## 9-5 MATERIALS

None specified.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Structure:

State - Fiscal management is a centralized service performed within the Office of Social and Rehabilitation services for all program bureaus within SRS. For contract providers, invoices are submitted to the Bureau of Social Service Contracts for editing and an audit. The invoices then go to the Bureau of Financial Planning and Accounting for a visual edit of codes, completeness, and readability. The invoices then go to a data processing unit where a check is issued.

Local - For vendor payments, the invoices first go to the district office for checking and then to the state office. It was stated that the reimbursement process requires from 3 to 4 weeks for both contract and vendor payments.

Function: The state reimburses providers, and together with input from program units, formulates fiscal policy and procedure. The local level provides quality control for vendor payments.

### 10-2 FISCAL MATERIALS

All fiscal materials have been developed and were reported to be readable, clear, and simple to complete. It was stated that some of the materials were overly complex.

### 10-3 INCOME SOURCES

| SOURCE | % FY 74-75 | % FY 75-76 |
|---|---|---|
| Title XX/IV-A | $2,200,000 | $4,002,762 |
| WIN | UNK | UNK |
| CWS | UNK | UNK |
| Other: | UNK | UNK |
| TOTAL: | UNK | UNK |

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | FY 74-75 Expenditures |
|---|---|
| Purchase of Service<br>Contracted Facilities | $1,200,000 |
| Vendor-Paid Facilities | $1,000,000 |
| Direct Provision/Operation | None |
| Client Purchase with<br>Social Service Reimbursement | None |
| TOTAL | $2,200,000 |

Description of Funding Methods/Process:

A. Purchase of Services: Contracted services are overseen by the Bureau of Social Service Contracts. No large scale subcontracting is undertaken.

The provider contract incorporates a social service proposal format that covers goals, objectives, methods for recruitment of clients, program planning, evaluation, staffing, administration, and a total budget. This document later serves as a basis for monitoring, evaluation, and training.

B. Client Purchase: None

C. Direct Provision: None

## 10-5 RATE ESTABLISHMENT

Unit of Measurement: Child day if 6 1/2 hours or more - child hour if less than 6 1/2 hours per day

| Provider Type | Rates | | |
|---|---|---|---|
| | Basis | Average | Range |
| Public Centers | Based on actual costs through analysis of provider budget | $7/day | $5-7/day |
| Private Centers | | | |
| Family Day Care Homes | Daily unit cost | $5/day | $3-7/day |
| Group Day Care Homes | THIS CATEGORY NOT UTILIZED | | |
| In-home | Administrative decision | Paid at the rate of .75 per hour for first child, .60 per hour for second child, and to a maximum of $2.00 per hour regardless of number of children. | |

## 10-6 IN-HOME CARE

Providers are paid up to a maximum of $2.00 per hour regardless of the number of children served.

## 10-7 INCOME ELIGIBLES AND PARENT FEES

Child day care services are available free for persons earning up to 46% of the state median income (for a family of 4). Fees, on a sliding scale, are paid between 46% and 80% of the median income. The full cost of services is paid by persons earning above 80% of the state median.

## 10-8 DONATIONS

A total of $787,000 was received in donations in FY 75, including in kind services.

# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: State Supervised/County Administered; State Administered (Direct Program Provision).

Description of Administrative Structure: The Department of Institutions and Agencies is the primary provider of social services in the State (umbrella agency). It houses the Division of Public Welfare, which is responsible for all public assistance programs in the state, including AFDC. The individual County Welfare Boards directly administer public assistance programs locally and are supervised by the Division of Public Welfare.

The Division of Youth and Family Services (DYFS), also within the Department of Institutions and Agencies, is the primary State agency responsible for the delivery of social services to New Jersey families, including day care services. The Division delivers services directly through its 20 District Offices and supervises a network of other providers, including the service arms of the 21 County Welfare Boards.

The Bureau of Day Care Services, within the Contract Development and Administration arm of DYFS, is responsible for supervising community and center day care, under contract to the Dept., through regional offices, and for the direct operation of 22 day care centers. It is also responsible for training providers.

The Licensing Section of DYFS is responsible for licensing and regulating privately operated child day care centers serving more than 5 children between the ages of 2 and 5 and which charge a fee.

RESOURCES ALLOCATED TO CHILD CARE

| | Allocation of Funds | |
|---|---|---|
| | FY 74-75 | FY 75-76* |
| Total Social Services Allocation | $85,333,333 | $116,088,361 |
| Total Child Care Allocation | 31,261,260 | 37,815,605 |
| Percentage of Total Social Services Funds Allocated To Child Care | 36.6% | 32.6% |

* FY 75-76 figures are from the Title XX plan.

The 75-76 Child Care Allocation is inclusive of funds for normal and specialized (handicapped and bi-lingual) day care and the delivery of social services components.

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The New Jersey site visit was conducted in January 1976. Interviews were held with 15 State officials and with local staff of both Mercer and Hudson Counties.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Providers | Number FFP Children | Expenditures | |
|---|---|---|---|---|
| | | | FY 74-75 | FY 75-76 |
| State Operated Centers | 9 non-WIN*** | 539 | $1,261,260 | $1,800,000 |
| Public Centers* | 223 | 19,124 | 26,000,000 | 30,809,572 |
| Private Centers | 800 | 3,630 | | |
| Group Day Care Homes | -- | -- | | |
| Family Day Care Homes | 3364 | 3740 | 4,000,000 | 5,206,033 |
| In-home Care | 416 | 605 | | |
| TOTAL | 4812 | 27,638 | 31,261,260** | 37,815,605** |

*Pre-school, after-school, infant programs (Title XX, state-supervised).

**Does not include WIN money.

***Does not include 13 WIN centers.

## 1-4 RECORDS

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | yes | Individual | local |
| Standardized social service forms | yes | Individual | local/state |
| Computerized records | yes | Individual | state |

Extent of Data: All required data collection is complete and can be retrieved manually from the local records, and from state standardized and computerized records.

Data Aggregation: Individual client data is systematically collected and compiled at the local level through a manual system. The state has a duplicate record which is fed into the computer.

## 1-5 STATUTES

There are state licensing statutes available in booklet form for use by social workers.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

State personnel felt that the day care services staff was highly qualified and a strength on the state system. They also noted that good relations between fiscal and program staff enabled the state to function to best advantage in social services delivery.

The state personnel noted that they need more staff in order to undertake a comprehensive evaluation of programs in the state. They also feel there should be more emphasis on training providers, and fiscal and program monitoring.

The state personnel expressed a real need for more fiscal technical assistance, to both staff and provider agencies.

The local personnel hoped to have more and better training to family day care providers in the near future. They felt this was an area needing far more emphasis. They also noted that communication with the state Central Office was poor and that reimbursement of funds to the local offices took a very long time and created difficulties accordingly.

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT

A very limited needs assessment was conducted to fulfill Title XX requirements. Documents prepared within the Bureau of Research, Planning and Program Development were reviewed, particularly a paper prepared in 1975, to examine need versus existing day care capacity within each county.

### 2-2 PROCESS

Scope:

| Sources of Information | Extent Utilized | Strategy |
|---|---|---|
| Documentary Sources | Extensively Utilized | 1970 Census & 1973 AFDC data reviewed to determine need vs. existing day care capacity in each county |
| Agency Personnel | Extensively Utilized | Collected in-house information on existing slots available by provider type |
| Service Providers | Limited Usage | Providers surveyed re: # of available spaces. |
| Consumers | Not Utilized | |
| General Public | Not Utilized | |

### 2-3 RESULTS/UTILIZATION

Specific numerical estimates of need were generated in relation to age, before and after-school, family type, county, number of slots available and unmet need on the basis of AFDC and census information.

Degree of interaction into planning process: Currently a detailed needs assessment is being conducted regarding protective services children and day care. The Social Service Planning Unit is also conducting a Title XX Needs and Satisfaction Assessment, including Day Care, using the general public.

Data aggregated for needs assessment was utilized in the presentation to the Legislature for funding, in the Budget request, and in the internal planning for expansion.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

On-going Planning: The Bureau of Research, Planning and Program Development is responsible for on-going social services planning within the DYFS and was responsible prior to Title XX. Its responsibility is for both systems and program planning.

Title XX Planning: The Social Services Planning Unit in the Office of the Commissioner of Institutions and Agencies is responsible for overall social services planning and produces the State Plan for Title XX requirements. The Bureau of Research, Planning and Program Development is responsible for social services planning within DYFS for Title XX requirements.

Staffing: There are 20 full-time staff in this Bureau and they spend 80% of their time in Title XX planning.

### 3-2 PLANNING PROCESS

The planning process was inclusive of all social services, although child care represented a large portion of the Title XX budget. Inputs utilized were data from needs assessment, feedback from publication of plan, public hearings and committee input.

Title IV-B and WIN planning were integrated with the Title XX planning.

The planning process has changed somewhat from the process prior to Title XX. Although there had always been some public hearings for social services planning, since the passage of Title XX public hearings have been instituted in all 21 counties as well as the formation of advisory committees in all counties.

## 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types and Numbers | Comparison |
|---|---|---|---|---|
| Total Number to be served | yes | yes | 33,000 slots | more |
| Population Categories to be served | yes | yes | AFDC<br>SSI<br>Income Elig } 25,984 | same |
| Priority Population categories* | yes | no | Expansive priorities: children with special needs, bi-lingualism, and specific geographic areas. | |
| Service Provider Types | yes | yes | centers 27,000<br>Family day care 5,000<br>in-home 1,100 | unk. |
| Special Provider Attributes (eg hours of service) | yes | no | ability to serve mentally retarded, children w/learning disabilities, bi-lingual | |
| Geographic Areas | yes | yes | 21 Counties | same |
| Dollars Allocated for Child Care Services | yes | yes | $37,815,605 | more |

*Day Care is the #2 priority in New Jersey.

Planned Organizational Changes: Family Day Care is presently under close review. Also the state is currently conducting an 18-month study regarding changes in fee requirements throughout the state. The results may change admission policies for day care and may upgrade the quality of day care services.

## 3-4 UTILIZATION/IMPLEMENTATION

Bureau of Research, Planning and Program Development has the responsibility for program development and recommendations in the areas of day care, protective services and special services. The Bureau of Day Care Services has the responsibility for implementation of these programs. The Bureau of Day Care does some of its own planning also.

## 4. EVALUATION

No comprehensive child day care evaluations have been conducted in the State of New Jersey. Evaluations are conducted regularly of individual programs under contract and from which service is purchased.

There have been issue papers relating to day care management, policy, rates and fee scales, budget requirements, and program guidelines written by the Bureau of Day Care and the Bureau of Research, Planning and Program Development. These have been useful to the state for a general overview of day care concerns.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

There is no statewide I & R service. It is done, in some counties, at the local level. In Hudson County, one of the two counties visitied, I & R is the responsibility of the provider agencies. There is no formal I & R unit or worker. In Mercer County, the second site visited, the in-take worker has the responsibility of providing I & R when necessary.

Most information is passed to potential clients through community word-of-mouth and through information and referral dispensed by providers.

The County Welfare Board Income Maintenance Workers, Social Service Workers of DYFS, SAU-WIN staff, and community groups all provide I & R upon request. Local offices do keep a file on facilities in which they have placed children. The file is inclusive of the following information:

name, address, and telephone number of provider
vendor number
names of children receiving day care in the facility, and ages of children.

The above information is updated as needed.

### 5-2 PROCESS

Assembling Information:

| Provider Type | Systematized | Freq. of Updates | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hrs | Cost | Avail |
| Centers | yes | as needed | yes | no | no | yes |
| Homes | yes | as needed | yes | no | no | yes |
| In-home | yes | as needed | yes | no | no | yes |

Disseminating Information: Done through parent-to-parent referral, pamphlets written on Day Care services, and contact with community groups.

Assessing Client Need: DYFS, regionally, has an intake worker who assesses client need and eligibility. If potential client is found eligible for day care services (must produce salary information, pay stubs, etc. if in income eligible category), a social services worker is assigned to contact this person and evaluate need for services. Consideration is given to the age of the child, special problems, and type of care desired. If parent does not have a provider in mind, worker refers parent to a day care facility, based on the day care resource file in local office.

In AFDC-WIN cases, the County Welfare Board completes a registration form for the client and transfers this to an Employment Services worker at DYFS office. Employment services counselor contacts client for interview. After a needs assessment, the employment services counselor must submit a Certification for Services Request to the DYFS case worker who ultimately makes the decision to certify or not certify a client for services. If approved, the certification request is returned to the Employment Services Unit and they make arrangements for training, job entry, and day care services.

Referral and Follow-up: Every 3 months the assigned social worker visits the child at provider. An evaluation of the service provided for the child is made and, when necessary, recommendations are made to the provider. A social worker may also decide to contact parent if problem areas arise. All information is documented in the child's case record.

## 5-3 RESULTS

Time period: Mercer County: District Office of DYFS

| | WIN results Over 6 mo period | Non-WIN results For 1 mo period |
|---|---|---|
| Number clients seeking child care referral | 142 | 20 |
| Number actively assisted (received day care) | 130 | 20 |
| Number securing their own services | 0 | 0 |
| Number unable to secure services | 12 | 0 |

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: Within the Contract Development and Administration arm of the Department of Institutions and Agencies' Division of Youth and Family Services (DYFS) is the Office of Contract Administration. There is an Eligibility Determination Unit in the Office of Contract Administration. Although eligibility determination is often made locally by the social workers of the regional Bureau of Family Services, or by the provider in contracted situations, ultimate authorization for day care services comes from the Eligibility Determination Unit.

Level of Effort: 4 staff and 1 supervisor working full-time process 300 applications for social services each day at the Office of Contract Administration.

### 6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC-non-WIN
- SSI
- Income Eligibles: All families whose gross annual income is 80% or less than the state's median income, adjusted for family size. (The 80% cut-off for a family of four is $12,595.)

In addition, all families of 2 persons whose gross annual income falls between 80% and 92% of the state's median income will be eligible for child day care services. (Those 2-person families whose income annually is between $8,565-$9,840.) These 2-person families will be charged a fee of $2.00 a week if their income falls between 80-92% of the state median.

Revisions Since the Passage of Title XX: Extension of eligibility for services to include those 2-person families falling in the 80-92% of the state median income bracket.

Materials to Ensure Uniform Interpretations: Office of Contract Administration has microfilmed records that are checked against case records supplied, by case number, by the providers. There are guidelines for the use of front-line workers to ensure uniform eligibility determinations.

## 6-3 PROCESS AND VOLUME

Applications: There is a standardized "Service Application and Client Record Summary" form which is completed by provider agencies of center day care, and by social workers in regional DYFS offices (WIN or non-WIN offices of DYFS) for family day care and in-home arrangements.

Eligibility Determination and Verification: Provider or social worker makes the initial determination on the basis of income documentation (in income eligible situation). In AFDC-WIN and AFDC-non-WIN cases, these clients are certified categorically eligible for services.

Service may begin as soon as client is determined eligible, either by category or income documentation criteria.

Quality Control: It is essentially the client's responsibility to notify the provider or social worker of any relevant changes in status. The Office of Contract Administration may also receive notification of client turnover from the income maintenance section. If Office becomes aware of a change leading to non-eligibility of a client, the state Office notifies provider with instructions to clarify the client situation. If client is determined ineligible, provider is instructed to terminate this client from service immediately. There is no phase-out period for client.

Redetermination Frequency: Every six months.

Every six months, provider must make a redetermination of client eligibility status. Income verification, through pay stubs or notarized statement, is required.

Appeals: Total Number: 2 or 3

There is an Appeals form applicants are given when they are denied service. The 2 or 3 cases being appealed currently in the state have not as yet been resolved.

## 7. LICENSING

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Child Day Care Licensing Section of the Division of Youth and Family Services has the responsibility for licensing and regulating privately operated child day care centers serving more than 5 children between the ages of 2 and 5, and which charge a fee.

Exempt from licensure are facilities which are publicly owned or operated or sponsored by religious or fraternal organizations serving their members only.

Family day care and in-home providers do not need a license, but must be approved if they want to provide day care services to publicly funded families.

Infant centers and after-school centers are also exempt from licensure but must be approved if care is purchased by the Division, as most Head Start programs, based on state standards.

Staffing: There are 20 persons working full-time in the Child Care Licensing Section. They are divided into two units: a physical facility inspection unit, including a supervisor and six field workers; and an Early Childhood Development unit (concerned with curriculum, educational philosophy, staff-child ratios, nutrition, etc.), with one supervisor and three field workers. There is also one administrator and one assistant administrator in the Section.

The clerical staff of the Licensing Section has a great deal of responsibility for coordinating the licensing process.

20% of the above staff time is allocated to other processes related to licensing functions. The staff also must investigate the physical plant of those facilities which are exempt from licensure but need approval for funding. Decisions to approve facilities are based on state standards and FIDCR considerations.

The physical facility inspectors have a background in architecture, engineering and construction and have experience in the field.

The early childhood development specialist has a B.A. in Early Childhood Education and 2 years experience.

There are in-house workshops for staff and outside consultants are often used.

## 7-2 STANDARDS

Standards Development Process: The Division of Youth and Family Services is currently directing the development of a new child care licensing law and regulations which would greatly expand and improve the existing law and regulations.

Law governing child care was enacted in 1946; regulations were developed in 1952. In June 1973 DYFS appointed a representative 37-member Task Force on Child Care Licensing to review and evaluate the existing law and recommend modifications. The final draft of their report was submitted in October 1975 and was introduced in April, 1976 to the State Legislature.

Standards in publicly supported programd (FIDCR) generally are set higher than the minimal licensing standards because of the high reimbursement rates.

Content of Standards: The current "Standards for Approval of Child Care Centers" (1970) governs the licensing of centers for children from 2-5 years old. (The new law and regulations will expand this group to include children up to the age of 16 and down to infants).

The child care center must satisfactorily show that it meets the minimal standards, and requirements with respect to Personnel, Health Care, Physical Facilities, Transportation of Children to and from Child Care Centers, and Program as outlined in the "Standards for Approval of Child Care Centers" (1970).

Staff:child Ratios

| Centers Serving FFP Eligibles* | | | |
|---|---|---|---|
| Ages | Max. Group Size | Ratio | State Standards |
| 2-4 | (not more than 15) | 1:5 | 2 adults must be present. |
| 4-6 | (not more than 20) | 1:7 | |
| 6-15 | (not more than 25) | 1:10 | |
| Group Day Care Homes: none | | | |
| Family Day Care Homes: Number of pre-school children, including Family Day Care mother's own, is not more than five. | | | |

*Notwithstanding the "Standards For Approval of Child Care Centers" (1970) provisions, centers must also meet the minimal staff:child ratios shown above if they wish to serve FFP eligibles.

These ratios were printed in "Criteria for the Purchase of Service by the Department of Institutions and Agencies from Congregate Day Care Centers" (5/74).

Additional Components of Standards: The 1970 center standards include the following components: administration, staff qualifications, facilities, health, nutrition, safety, evaluation/monitoring, and transportation.

The proposed licensing law and regulations (1976) will eliminate several of the exemptions in the existing statute and broaden its scope by requiring licensure of child care centers serving children from infancy to 16 years of age. This would require licensure of infant centers, after-school programs and certain private kindergartens, which are presently not required to receive a license from the Licensing Section.

Comparison of Standards and FIDCR: State noted that their regulations are more stringent than FIDCR, particularly in the area of physical plant requirements. The state's standards are less rigid than FIDCR in the area of staff/child ratios. There must only be two adults present according to state requirements. One adult, the Head Teacher, must have a degree in Early Childhood Education, or there must be a consultant available.

Centers which want to provide day care to federally funded children must be certified by the Bureau of Day Care Services. They must meet FIDCR standards to serve FFP children.

## 7-3 SUMMARY OF ACTIVITIES

| Provider Type | Sanction Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total# | #Sanctioned | %Disq. | Planned | Actual |
| Public Centers (22 state | Approval--must meet licen. stnds. | 22 | 20 (2 in process) | 0 | Every 3 yrs. | Every 3 yrs. |
| Private Centers | License | 1070 | 1046 | N/A | Every 3 yrs. | Every 3 yrs. |
| Group Day Care Homes | -- | -- | -- | -- | -- | -- |
| Relative DCH's | Approval | UNK | UNK | UNK | No renewal process; annual review of service | |
| In-home | Approval | UNK | UNK | UNK | | |

Fees for Licenses: $75.00, for centers only.

Content of License: The license for a day care center is entitled "Certificate of Approval" and includes:

- name and location of facility
- date issued
- expiration date
- maximum enrollment

Homes receive a letter stating that they have approval to operate.

## 7-4 LICENSING PROCESS

Areas of Investigation: The Child Care Licensing Section conducts a physical facility inspection of all homes, infant centers, and after-school centers requesting approval to provide day care services.

In centers requiring a license, the Licensing Section conducts a physical facility inspection and a determination of maximum enrollment, curriculum, educational philosophy, adequacy of supervision, rest, and nutrition. They've developed a physical facility checklist for use by front-line workers.

Extent and Nature of Process: They schedule visits by the staff from the two units of the Licensing Section, physical facility and Early Childhood Development . The Early Childhood Development staff observes a 1/2 day of the program and makes an evaluation. They provide technical assistance as needed. The physical facility inspection is usually made within three weeks of the request. Approval from fire, health, and building inspectors is required. Local municipalities must send in documentation of these inspections. The licensing process usually takes 90 days.

Conditional Licenses: A temporary license can be issued, usually for 30-90 days. It can be extended up to one year.

Revocations: The state has never revoked a license. It did close one center for not having a license.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

Organization Model: The District Office of DYFS is responsible for monitoring of family day care and in-home facilities. The Regional Office of the Bureau of Day Care has the responsibility of monitoring public day care centers under contract to the Division and evaluating and approving centers from whom service is purchased.

Level of Effort: At most District Offices of DYFS in the state there are persons whose sole responsibility is to perform monitoring functions. (Usually Social Worker II). There are 33 Family Day Care workers in the state, 6 Social Service Aides, and 6 Supervisors. These Workers monitor all family day care and in-home facilities once every three months, and the procedure is estimated to take about 40 minutes.

Day care programs are monitored by DYFS for contract compliance including eligibility of children served, attendance records, staff/child ratios and nutritional, health and developmental activities. DYFS also monitors the expenditure of funds and reviews requests for budget revisions.

In the four Regional Offices of the Bureau of Day Care Services there are four Supervisors and 26 Field Coordinators who have the responsibility for Community Day Care. There are also four Regional Supervisors who are responsible for the direct operation of 22 day care centers throughout the State. Sixteen of these centers operate school-age programs. (The state, through DYFS, operates programs only where the need is great and no local sponsors are available. These facilities do not require a license, but they are monitored for compliance with state and federal standards.)

Field Coordinators interpret FIDCR, state legislation and Divisional policies. They negotiate agreements and contracts with provider agencies and prepare these contracts and agreements in accordance with negotiations. They monitor agencies with agreements and contracts, visiting the programs regularly and checking records on eligibility and attendance, and monitoring staff/child ratios. They recommend termination or renewal of contracts based on their evaluations.

Centers with purchase agreements are monitored upon request. Title XX agencies are monitored every two months, but the state has plans to begin monitoring these agencies once every month. The monitoring effort takes an average of one day per visit.

## 8-2 MONITORING ACTIVITIES

| Provider Type | By Whom Monitored | % Monitored | Frequency | Av Time Per Unit |
|---|---|---|---|---|
| Centers | Field Coordinators of Regional Bureau of Day Care Services | 100% | Contracting agencies are monitored once every 2 months. | 1 day |
| | | UNK | Other agencies taking FFP children are monitored upon request. | 1 day |
| Family Day Care and In-Home providers | Social Worker II staff of District offices of DYFS | 100% | Every 3 mos. | 40 mins |

## 8-3 PROCESS

Areas Investigated and Extent of Systematization: Social Workers at the District Offices of DYFS use the DYFS Operational Manual to monitor homes. They observe the child's adjustment to the home, emotional well being, health development, and the physical characteristics of the home and surroundings. Visits are regularly scheduled and additional visits are made as needed.

There is no manual in use for the monitoring of centers. Areas monitored are program, eligibility and attendance, staff:child ratios, curriculum, nutrition, staff development, and parent involvement. There is an in-depth evaluation form which is used and which is presently being revised by a DFCS task force. For agencies serving Title XX children, reports are written on the visit by the Field Coordinator. For other than these Title XX agencies, no written evaluation is made unless requested.

Dominant Strategy: Scheduled site visits to both homes and centers.

## 8-4 RESULTS

Estimated Proportion Out of Compliance: None. All homes and centers are in compliance.

Areas of Complaince Difficulty and Nature of Follow-up: Often workers find there are too many children being provided day care services in family day care homes. When this is observed, the worker notifies the Placement Facilitator. Children are withdrawn if home does not comply.

The area of most difficulty for centers is parent involvement The Field Coordinator gives technical assistance to the center and parent involvement goals are set. Although the target date for compliance is sometimes extended, if there is non-compliance the contract could be voided.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: With the rapid expansion of social services in New Jersey, the Department of Institutions and Agencies recognized a clear need for a centralized capacity to coordinate social services staff development and training activities. Toward this end, a Manpower Planning and Training Unit has been established in the Commissioner's Office of the Department of Institutions and Agencies. Responsibility for preparation of the Annual Training Plan pursuant to Title XX rests with this Unit.

Each of the Divisions administering social services programs under Title XX have significant responsibility for the development of related training programs. Since a majority of service programs and related training are administered by DYFS, DYFS plays the largest role of any Division in the administration of social services training programs.

The Manpower Planning and Training Unit has responsibility for coordinating training programs and minimizing duplication or overlap. The Unit also has responsibility for technical review of grants to educational institutions for training and assisting the Divisions in the development of an annual training plan to be submitted to the Unit each fiscal year.

There is an interdepartmental training agreement between the Department of Institutions and Agencies and other State Departments developing service programs.

The Licensing Section of DYFS has workshops for day care center providers.

Although not currently in use, the Department of Institutions and Agencies plans to utilize 3 primary mechanisms to provide training services to provider agency staff:

1. Grants to educational institutions or other appropriate training agencies for classroom and related field instruction for provider agency personnel.

2. Amendment of existing purchase of service contracts to include a statement by the provider agency of the type of training the staff would receive.

3. Negotiation of new services contracts in which staff development would be an integral component of the services program.

It is estimated that training, through the above mechanisms, will be provided to 1,000-1,200 professional staff by the end of fiscal year 1976.

The Division of Youth and Family Services has a central Staff Development and Training Unit responsible for direct job-specific skill training to field staff of the Division; coordination and administration of general employee development programs for Division staff; administrative and management development programs and consultation to County Welfare Board training staff and Divisional personnel who have part time training responsibility. This Division has management workshops, parenting education workshops and training skills workshops. These workshops are open to all staff in DYFS and the staff of the 22 state-operated centers.

The Staff Development and Training Unit has a budget of $400,000; $60,000 of which is general training budget and a $310,846 Federal Training Program (Title 426) budget.

The Bureau of Day Care has its own Supervisor of Training.

Local: Eleven 4-C's (County Coordinating Councils) in 10 counties of New Jersey, have money allocated for training, orientation and coordination of local center operations.

There are also two sets of local organizational units involved in the delivery of social services -- the DYFS' 18 District Offices and the 21 County Welfare Boards.

DYFS District Offices training programs are the responsibility of the Division's Staff Development and Training Unit, who provide training programs for D.O. staff.

Training programs in County Welfare Boards are provided by training staff in each Welfare Board. The Welfare Boards have primary responsibility for training their own social services staff through existing units. DYFS, the organizational unit with responsibility for social services in County Welfare Boards, will provide guidance and technical assistance as requested.

The Regional Offices of the Bureau of Day Care Services have Field Coordinators who provide training and technical assistance to day care center providers as needed.

Staff Background: Unspecified

## 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amt |
|---|---|---|---|
| State | Region | Training in problem areas & interpretation of Fed. regulation. | Unk. |
| State staff | State-DYFS | Orientation for new staff; in-house training; courses at educational institutions in related social service fields | as needed |
| Local staff | State-DYFS | Regional Field Staff work with County Brd of Freeholders (county govt).<br>DYFS provides T&TA to staff of County Welfare Boards | as needed |
| 22 State-operated center staff | Bureau of Day Care | Supervisors give T&TA to staff when necessary; staff take courses at educational institutions; workshops with outside consultants are held. | as needed |

Provider Training and Assistance

| To Whom | By Whom | Description | Amt |
|---|---|---|---|
| Centers | Licensing Section of DYFS; Dept. of Education; Bureau of Day Care | Contract TA; staff program development training; fiscal management workshops, nutrition (Dept. of Education) | as needed |
| Centers | local county health depts. | Provides TA to centers in matters of health and medicine. | as requested |
| | local 4-C's | Training, orientation work and coordination of center operations. | as requested |

## 9-3 PROCESS

Identification of Need for T & TA: Identified through monitoring efforts of fiscal auditors, and field coordinators. T & TA is also part of the federal criteria for day care. Great variance in centers as to need for T & TA.

There has been some effort on the part of state and local personnel to provide formal T & TA to family day care and in-home providers.

A training program for family day care providers, using as its model weekly center laboratory experience, training workshops and weekly home visits is in its second year of demonstration.

Methods Used: T & TA is usually conducted on an individual consulation basis between center and DYFS social work staff. There are occasional workshops conducted.

## 9-4 RESULTS

There has been no formal evaluation to ascertain training and technical assistance effectiveness. However, often the results are apparent in that provider agencies improve their programs and have fewer questions on fiscal matters. The state estimates that the need for T & TA in centers is still great. They would like to see more T & TA in areas of programming, fiscal matters, social services administration in general, and emphasis on parent involvement.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Structure:

State: The Bureau of Fiscal Services, within the Fiscal and Management Operations sector of DYFS, is responsible for fiscal management of all social services.

Local: There is no regional fiscal management department in DYFS. There is a separate fiscal department in each County Welfare Board (CWB). There is little practical interface. CWB prepares fiscal reports to State and State sends funding for CWB.

Function: There are 60 full-time professional staff people in the Bureau of Fiscal Services; it is estimated that they spend 1/3 of their time on child care fiscal matters.

The Bureau of Fiscal Services supplies developmental and technical assistance to centers by preparing expenditure, budget and cost guidelines. There are 12 Auditors who provide technical assistance in fiscal matters to providers during the course of an audit.

The most time-consuming areas for the state fiscal staff are in the correction of incorrect payments, key punch errors, auditing provider records, and telephone and mail contact with provider agencies who have problems with fiscal procedures.

### 10-2 FISCAL MATERIALS

Availability: All pertinent fiscal materials are available and used regularly.

Source: DYFS

Utility: All fiscal materials were rated good to excellent

### 10-3 INCOME SOURCES

| Source | FY 74-75 | FY 75-76 |
|---|---|---|
| Title XX/IV-A | $31,261,260 | $37,815,605 |
| WIN | 8,300,000 | 8,300,000 |
| CWS | -- | -- |
| TOTAL | 39,561,260 | 46,115,605 |

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | Expenditures FY 74-75 | Anticipated Expenditures FY 75-76 |
|---|---|---|
| Purchase of Service<br>Contracted Facilities | $26,000,000 | $30,809,572 |
| Vendor-Paid Facilities | $10,774,213* | $12,601,623* |
| Direct Provision/Operation | 2,786,947* | 2,704,410* |
| Client Purchase with Social Service Reimbursement | 0 | 0 |
| Total | $39,561,260* | $46,115,605* |

*WIN money included.

Description of Funding Methods/Processes:

A. Purchase of Service: The State of New Jersey has 3 types of contract agreements with providers.

Contract: The state purchases all slots from a center. This contract is renewed yearly, based on an evaluation by the Field Coordinators of the Bureau of Day Care Services.

Day Care Agreement: Individually purchased. If the District Office of DYFS or the County Welfare Board wishes to place a child in a private center, the Regional Office staff of the Bureau of Day Care evaluates the facility, monitoring for FIDCR compliance, and a day care agreement is drawn up. Family day care homes and in-home arrangements are evaluated by the individual District Office and agreements are signed.

WIN contract: Individually purchased. This is a written agreement between a private agency and DYFS to guarantee them payment on a specific numberof spaces.

There are signed contracts or agreements from every vendor providing day care services.

Billing Procedures: In the contracted center situation a contract is prepared, based on the agency budget. DYFS advances 25% of the total contract value to enable the agency to start purchasing materials and hiring staff. The agency begins operation and sends DYFS eligibility, attendance and billing information. DYFS proceeds to pay the agency 1/12 of the contract for the next 9 months, making adjustments monthly. A reimbursement system will be in effect in several months. The contract is renewed at the end of each year if performance warrants and money is available.

In individually purchased agreements, the District Office worker or the vendor prepares a bill twice each month. It is approved at the District Office and invoiced in the fiscal section of the office. The check is dispursed and the account debited for expenditures.

B. Direct Provision: The Bureau of Day Care Services operates 22 day care centers throughout the state. Sixteen of these centers operate school-age programs, in addition to pre-school. The staff for these centers are state employees.

C. Client Purchase: DYFS does not dispurse social service funds to clients to purchase services, but pays vendor directly.

The County Welfare Board does give client income maintenance money to purchase child day care. Control procedures vary from county to county.

## 10-5 RATE ESTABLISHMENT

Unit of Measurement: slots ("spaces")

| Provider Type | Rates | | |
|---|---|---|---|
| | Basis | Avg. | Range |
| State-operated Centers | Slightly lower rate than for contracted centers | $43/wk | |
| Private Non-Profit and Public Centers | Actual costs | $35 | $50 per child/wk* (maximum) + $8 transportation (permitted but seldom used) |
| Centers for Exceptional Children | Actual costs | -- | $67-70 per child/wk + $8 transportation (permitted but seldom used) |
| Family Day Care Homes | Actual costs | -- | $4.40/day; $22/wk** |
| In-home | What state will pay | -- | $10/day for 8 hours care**<br>$50/wk for 8 hours care |

*In contracted centers, rates are adjusted if child attends less than 80% of the time each week.

**In individual agreements payment is made for actual utilization and figures pro-rated down for less than 8 hours of care per day.

## 10-6 IN-HOME CARE

The state reasons that, since these providers are not state employees, a mutual agreement between the state and the provider is sufficient and not subject to minimum wage constraints.

## 10-7 INCOME ELIGIBLES AND PARENT FEES

All families whose gross annual income is 80% or less than the state's median income, adjusted for family size, are eligible for free child day care services (the 80% level for a family of four is $12,595).

In addition, all 2-person families whose gross annual income falls between 80% and 92% of the state's median income are eligible for child day care services (those incomes between $8,565 and $9,840). A fee of $2.00 a week is charged to those 2-person families whose income is between 80% and 92% of the state median.

Donations: The state must depend on private or local donations since the state only appropriates sufficient funds to provide approximately 7% of the cost of day care provided under contract by center. Last year $4-5,000,000 was donated by private parties, cities, townships, counties, United Way, foundations, service clubs and religious groups. Provider donations are accepted if there are no restrictions for the use of funds, other than by geographic area and type of service.

# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: New Mexico is state administered through the Health and Social Service Departments, Social Services Agency (SSA).

Description of Administrative Structure: HSSD consists of 5 major agencies, three of which are involved in child care management. SSA, as the Title XX administrative agency, is the main manager of child care. The State Welfare Agency (SWA) is responsible for income maintenance and has cases open in the preponderance of day care cases. The State Health Agency (SHA), through its Institutional Licensure Section, is responsible for licensing day care centers and Family Day Care Homes (FDCH), although SSA conducts investigations for the latter care group. SSA and SWA are responsible to a Deputy Director who reports to the HSSD Director. SHA, Environmental Improvement Agency (EIA) and Scientific Laboratory System are responsible to a second Deputy Director who also reports to HSSD Director. At the time of the site visits the Deputy for SSA and SWA was Acting Director of HSSD, awaiting the coming of a new incumbent in that position.

SSA is headed by an Agency Director who has a deputy and six sections. Planning and Program Development (PPD) is primarily responsible for Child Care and has one full-time Early Childhood Specialist for Day Care. PPD also includes a Management Information Systems (MIS) Unit which takes care of child care reporting and gathering statistics.

An Administrative Support Unit (housekeeping functions) includes a Budget Analyst who has limited involvement in child care as part of the total budget process for SSA. A Training Unit of 3 people also has some involvement with child care. Contract services is responsible for 10 contracts with Day Care Centers.

Line operations in day care are the responsibility of Field Operations, the unit responsible for daily functioning of five* districts covering SSA offices in 33 counties. These field offices are responsible for determining eligibility, conducting FDCH studies for licensing, and case-carrying responsibilities in day care. They also do the approval process for FFP facilities after SHA has licensed.

*(For Title XX planning purposes, there are 7 districts.)

## 1-2 RESOURCES ALLOCATED TO CHILD CARE

| | FY '75 | FY '76 |
|---|---|---|
| Total Social Services Allocation | | $17,358,030 |
| Total Child Care Allocation | Estimated:<br>2,720,129 | 4,220,129 |
| Percentage of Total Social Services Funds Allocated to Child Care | | 30% |

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New Mexico site visits were conducted in February, 1976. Interviews were held with officials at the state office and staff members at the local office in Santa Fe County.

The state SSA has approximately 480 staff and estimates 20 FTE's in child care, for a staff allocation of less than 1%. (SSA requested 7 full-time day care positions in the latest budget, and were approved for 6 by the Legislature.)

In addition to SSA positions, SHA estimates 3 FTE's from its 7 Institutional Licensure Representatives to day care licensing.

NB: By both state and federal estimates SSA is grossly understaffed. One Reg VI Manpower study estimated a need for about 150 additional positions.

They have about 175 social workers, 14 assigned to WIN and 16 to adoptions. The remainder carry more than 18,000 cases, some of which are probably dead wood. They asked for 126 positions in last budget, expect to get 11, who are slated for the Contracts Management Unit.

1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Providers | Number FFP children** | Expenditures | |
|---|---|---|---|---|
| | | | FY '75 | FY '76 |
| Contract Centers | 10 | 1,409 | 1,737,628 | 2,327,888 |
| Other Centers | 66 | 471 | 229,259 | N/A |
| Group Day Care Homes | 6 | 28 | 8,719 | N/A |
| Family Day Care Homes | 190 | 573 | 280,295 | N/A |
| Unlicensed In-home Care | 320 | 1,059 | 358,625 | N/A |
| TOTAL | 592 | 3,540 | 2,614,525 | 5,220,129* |

*It should also be noted that although the Title XX budget includes more than $5 million for day care, approximately $1.5 million is for MR programs which were included with Child Day Care in the final plan. The remaining difference against FY 74-75 actual expenditures is largely accounted for by the increase in fees paid to licensed facilities (30% in 2 increments, 3 months apart.)

** per month average

1-4 INFORMATION SYSTEM

Nature of Records: New Mexico has a statewide MIS computerized system. County offices prepare Individual Client Case Information Forms for transmission to state office and maintenance in local offices. The all-inclusive form is being reprinted to make the third copy hard so that it can be easily used as a desk control. Narrative records are maintained in the county offices.

Data elements are complete in every respect, and include both family and individual identifiers. Any change that affects eligibility status, case plan or goal is reflected in the historical maintenance of data.

Data Aggregation: The system is capable of generating all SSRR reports and a number of additional ones as requested. Data is aggregated only at the state level. Two day care reports are generated monthly; one is a listing of expenditures by county, by consumer; the other is a listing by provider name and consumer name for use by the Early Childhood Specialist.

The state anticipates no problems in meeting SSRR, and expects to be able to provide more feedback to Field Operations through computer reports in future.

## 1-5 STATUTES

Child Care Licensing in New Mexico is regulated by Section 12-1-9, New Mexico Statutes Annotated 1953, most recently revised December 14, 1966, and presently being rewritten. Also involved in regulation are state and local fire marshals, EIA, and the Construction Industry Board. SSA publishes standards for the approval process of providers who wish to serve FFP children.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

The foremost problem - lack of sufficient staff - is addressed in resource allocation. Another major problem is the rate differentiation between contract centers and other provider types; e.g., the cost per child per annum in contract centers averaged $1,233.00; in other centers, $486.00, and in FDCH, $489.00. Further, the quality of care in contract centers may be inferior to that in other care types.

Other problems are in licensing and eligibility determination. Because of a lack of coordination between SHA and SSA, licensing information and activities are fragmented. In addition, state officials felt that Title XX eligibility levels were set too high. In converting from net to gross income standard, the plan ended up with eligibility at slightly less than 50% of state median income. As a result, families who were eligible before Title XX are being found ineligible in the course of redetermination.

Major strength is the degree of involvement by the Child Care Advisory Committee. They have been involved in program planning, rate increase, authoring a child care booklet "Somebody Cares" that is widely distributed in the state, and in both provider and staff (orientation) training. Other organizations have also been vitally concerned in child care including the New Mexico Association for Education of Young Children, the Women's Political Caucus, and the League of Women Voters.

## 2. NEEDS ASSESSMENT

In lieu of instrumented needs assessment, the state conducted a series of publicized public meetings, at which attendance varied from 7 to 250 people. A questionnaire asking for priority rankings was used at the meetings and 4 of 7 districts listed day care among their top 5 priorities.

In addition to the meetings, counties prepared needs assessment papers employing various techniques for input, among them census and historical data.

For the present and future planning cycles, District Planning Councils will be employed as a needs assessment tool. The Councils have now been established and their first round of meetings is underway. They will use brainstorming, discussions, data bases, and sampling to arrive at needs statements.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

Title XX and On-going Planning: Within the Planning and Program Development Section, a unit of 7 persons including 2 professional planners, 3 social workers, 1 VISTA and 1 CETA, all with considerable planning experience, are charged with Title XX Plan preparation. The unit began to form during the initial Title XX process, but its present director did not join the agency until October 1.

### 3-2 PLANNING PROCESS

Prior to Title XX, SSA had no formalized planning process, and the Title XX planning was largely historically based. It is believed that child care estimates both in terms of numbers of children and dollars may be too high. Because the legislature in the past did not appropriate matching funds to the extent of available federal dollars, the state's Title XX allocation is probably inadequate.

Under Title XX, day care is limited to work or training goals, caretaker illness or seeking employment, so the numbers eligible may be lower than previously when respite care was allowed.

### 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types and Numbers | Comparison |
|---|---|---|---|---|
| Total Number to be served | yes | yes | 3,915 children | Slightly more |
| Population Categories | yes | yes | AFDC, SSI, WIN<br>Income Eligibles | same |
| Priority Population Categories | no | no | | |
| Service Provider Types | no | no | | |
| Special Provider Attributes | no | no | | |
| Geographic Areas | yes | yes | By districts - $ x # of clients | |
| Dollars Allocated for Child Care | yes | yes | $5,220,129 | $2.5 mil more* |

*Of the $2.5 million, additional $1.5 million is for MR, about $300,000 to $400,000 for higher rates, and the rest for administrative costs, not all of which are reflected in actual expenditures for 74-75.

Planned Organizational Changes: The Planning Unit is in place and well on its way in the second Title XX planning cycle. The most recent HSSD reorganization was still in process at the time of the site visit and its impact on child care management could not be predicted. Since the site visit, six additional day care positions were granted. The impact is expected to facilitate the expansion of monitoring and training and technical assistance activities.

## 4. EVALUATION

No statewide child day care evaluations have been conducted in the past 3 to 5 years. However, random auditing is conducted by social workers at some local sites. In Gallup, for example, a special child day care evaluation was conducted using a team approach (see Section 8 on Monitoring).

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

Information and referral is a defined service in the Title XX plan, and is available without regard to income levels at the County SSA offices. Child Care is part of an overall social services information and referral system. By definition, information and referral is counted as such unless it becomes an open service case. Once a specific service need is identified, an application is taken and eligibility determined.

Information and referral telephone calls to the state SSA office are referred to the Early Childhood Specialist. If the inquiry is to availability of care it is referred to the appropriate county office. If it is to becoming a provider, an extensive information packet is provided to the caller.

### 5-2 PROCESS

Assembling Information: There is no systematized method for assembling and disseminating provider information. A process description for Santa Fe County follows:

A list of providers divided into geographical districts is maintained so that verdor availability can be given for consumer convenience to homes, school or work site, as desired. Updating is spotty.

A second listing is kept by child/family information clipped to alpha list of vendors where child is being cared for. This provides availability of space (but not geographically) monthly.

Other information on providers is name, location, type and whether children are over or under 2 (or both). Hours are noted only if outside regular working hours.

Disseminating Information: Organized outreach is not considered necessary, since the volume of inquiries, although not quantifiable, is considerable. The Day Care Newsletter is widely disseminated.

Assessing Client Need/Referral and Follow-Up: Child Care information and referral is assigned to the Adult Service Unit (a misnomer; distinguished from Child Protective Services) Intake Worker. If a brief assessment indicates need for subsidized day care, a case is opened and assigned to the Day Care Worker. If caller is looking for a provider only, she is given 2 or 3 choices depending on kind of care she wants and location desired. The worker encourages the mother to visit facilities with her child/ren and make a choice.

There is no follow-up to information and referral unless it becomes a case, or unless it is requested specifically.

## 5-3 RESULTS

Individual workers keep a daily log of time expended. This includes information and referral activities, by type of service. However, the only information which is aggregated is the sum for all information and referral activities, without the additional break-out by service type. Therefore, the numbers seeking information and referral services, for child care in particular, is not available on a statewide basis.

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

Eligibility criteria were established for Title XX services largely along former eligibles and according to federal requirements. The Program Development and Planning Division set income levels and wrote the policy manual for SSA staff and contract providers.

### 6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC-non-WIN if working, disabled, or in education or training for employment
- Income Eligibles under same conditions as AFDC-non-WIN (defined as a gross annual income of $5,600 or less, for a family of four, adjusted for family size). This is 49% of the state's median income.
- SSI recipients
- Essential persons in AFDC and SSI families
- Persons in need of I&R

Revisions Since the Passage of Title XX: A fee schedule for day care was included in the final plan. On March 5, 1976, the HSSD Board resolved to eliminate fees in day care, and this will be done according to required Title XX revision process, including advertisement of intent and comment period. Both SSA and a provider group strongly recommended that fees be done away with because of administrative costs for collection and hardship on clients. (Fee schedule has been done away with effective April 1, 1976.)

Materials to Ensure Uniform Interpretations: A manual of policy and procedures, including line item instructions for forms completion, was published October 1, 1975. A revised social service application form was put in place in November 1975. All eligibility forms are in use statewide. Santa Fe County also uses a day care work sheet of its devising; presumably other counties may also use enabling forms.

### 6-3 PROCESS AND VOLUME

Applications: County Social Workers or Client Service Agents (a paraprofessional classification) complete application forms in a face-to-face interview. The only exception is contract providers, who may obtain information and complete application.

Eligibility Determination and Verification: Eligibility determination is done by the county workers. The contract providers recieved the same written instructions as SSA staff and were also briefed in meetings. (Group eligibility is no longer used after auditors discovered widespread inaccuracy in its applications.)

The applicant completes the top half of the application form, swearing to its accuracy and acknowledging right of appeal and responsibility to report changes. SSA/Provider affirms verification of income and gives source, and SSA further verifies receipt of AFDC or SSI if applicable, and certifies in all cases as to eligibility status. Recertification due date is recorded on the form.

SSA Worker/Provider also completes the individual client case information form described in Nature of Records (see Section I).

Total number of applications received is not known. During November 1975, 2,691 children received day care, and the total services caseload grew by almost 4,000 cases in less than six months from mid-1975. It was not possible to determine how much of the growth was the result of child care.

Redetermination of Eligibility: Eligibility is determined every 6 months. The same format is used as in the initial determination.

Appeals: Clients are informed of their right to appeal. No appeals were filed in FY 74-75.

6-4 PARENT FEES
None

State staff concerned with Day Care believe that the income level should be set much higher and a sliding scale fee based on unit costs established. This would focus the program on lower income "working poor" for whom it is primarily designed in New Mexico. At present income levels, many working mothers are ineligible, yet unable to pay for adequate care, so either go on AFDC or resort to substandard care.

## 7. LICENSING

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: HSSD is charged with licensing of Day Care and has placed the responsibility with SHA; licensing is conducted through an Institutional Licensure Section. Licenses are required for FDCH's, Group Day Care Homes (designated as small centers by SHA), public Day Care Centers and private Day Care Centers. SSA SW's do studies for FDCH licensing, SHA reviews and grants licenses.

Certification for compliance with FIDCR is a separate process conducted by SSA and called Approval. A center or FDCH that is eligible to receive FFP is therefore a licensed, approved facility. SSA SW's do the licensing and approval visits for FDCH's simultaneously, using a SHA form for licensing aspects.

In-home care is neither licensed nor approved, may be provided by relatives and others, and is reimbursed at the rate of $1.50 per day per child, as against $3.50 per day per child in licensed, approved facilities.

Staffing: SHA has 7 Institutional Licensure Representatives, and estimates 3 FTE's to Day Care Licensing. The section chief estimates that each ILR does 100 FDCH visits a year, and 250 centers; he believes the ideal would be 75 and 125 respectively. This is based on 4 visits a year to each facility, 2 of which would be full "inspections" or "surveys." Most of these are not study visits.

SSA workers handle the total day care function and are not specialized to studies for approval purposes, so the number varies from county to county. In Santa Fe County, there is one day care position, presently vacant, and the unit supervisor is covering day care with help from a recently assigned CETA person. She estimates 5 home studies per month on the average of about 1-1/2 hours duration each. For non-contract center approval studies, which are rare, the state Early Child Development Specialist generally accompanies the county worker. (In contract centers the Contracts Management Section has responsibility for FIDCR approval.)

Staff Training and Qualifications

SHA: Licensure Reps have background relating to the position so may have construction experience, fire department experience, hospital or social work. 3 of the 7 have child care background and BA's in social work or related field. The section chief stated that ILR's receive monthly in-service training.

SSA: Social Workers are required to have BA in social work or closely related field. The Client Service Agent (CSA) IV must have a high school diploma and 2 years of college or the equivalent in work experience. Santa Fe County had CSA IV in Day Care position but Field Office Manager (County Directed) has asked for SW position instead.

The Early Childhood Specialist, who has a graduate degree in Early Child Development as well as experience as center director, etc., provides technical assistance to field operations staff to the fullest extent that her time allows.

## 7-2 STANDARDS

SHA standards were last updated in December 1966, and they have just begun a revision process. One of the ILR's who has child care education and experience is drafting new standards, which will be reviewed by legal staff, the Day Care Advisory Board, providers and consumers. Subsequent to publication, there will be a review and comment period and final approval from HSSD Board. The process is expected to be complete in 90 to 120 days.

Comparison with FIDCR:

| Centers: Staff-Child Ratios | |
|---|---|
| Ages | Ratios |
| Over two years old | 1:15 |
| Two years or under | 1:10 |
| Four & five year olds in care for 3 hours or less | 1:20 |
| Age range: Infants - maximum not specified. | |
| Minimum number: 5 or more | |
| Family Day Care Homes: | |
| Age range - Infancy through 17. | |
| Maximum number under care at any one time: 6 (if two infants are in one home, not more than 1 other child under the age of 6 is permitted) | |
| Group Day Care Homes: | |
| Designated as small centers. Follows centers standards. | |

SSA's approval standards for purchase of care match FIDCR in child/staff ratios. In other areas they are more specific than FIDCR; e.g., amount of space per child in centers is 75 square feet outdoors; 35 square feet indoors exclusive of bathrooms, closets, storage areas, kitchen and offices. The standards are detailed both as to physical and enrichment areas.

## 7-3 SUMMARY OF LICENSING ACTIVITIES

| Service Type | License/Appr. Required | Providers | | | Renewal Planned | Freq. Actual |
|---|---|---|---|---|---|---|
| | | Total # | % Lic. | % Disq. | | |
| Contract Center | License/Appr. | 10 | 10 | unk | annual | annual |
| Private Centers | License/Appr. | 371 | 66 | unk | annual | annual |
| Family Day Care Homes | License/Appr. | unk | 573 | unk | annual | annual |
| In-home | none | N/A | N/A | | | |

Percent Disqualified unknown but estimates are very low; most drop out or are screened out.

Fees: No licensing fees are charged.

Content: Licenses for both centers and FDCH's include:

- Date of issue
- Expiration date
- Type of facility
- Number of children to be served
- Identification number

## 7-4 LICENSING PROCESS

Areas of Investigation: SHA, prior to a licensing visit, asks center applicants to obtain an inspection and written report from their local building departments, fire departments and Environmental Improvement Agency. They are further asked to provide a set of floor plans to scale showing doors, windows, type of construction, sinks and toilets, etc. Their inspection is then geared to safety, sanitation, and safety aspects, and nutrition. ILR's are provided with check lists to use during visits.

SW's from SSA use the same check lists for FDCH studies, in addition to outlines provided by SSA to cover FIDCR compliance and program standards for approval of both FDCH's and non-contract centers.

Extent and Nature of Process: SHA makes one visit to Centers, with a total of 4 visits being made including fire, EIA, and building. SSA requires most of one day for its approval visit. SSA makes one visit of approximately 1-1/2 hours duration to do licensing/approval in FDCH's.

The paper processes in New Mexico for licensing and approval of child care facilities should result in quality programs, at least initially. In fact serious staff shortages in SSA lead to the approval process being largely one of "what's on paper." Child/staff ratios are most difficult standards to meet because of costs. Materials in FDCH's may be inadequate, again because rates are too low to allow for purchase of materials. The State Early Childhood Specialist offers an evening workshop on creating low-cost materials but it is generally not well attended, although enthusiastically received by those who do attend.

Center licensing process requires about 30 days, depending on interagency delays; e.g., fire inspections. The approval process takes less time.

FDCH licensing occurs within 48 hours of receipt of SSA recommendation. How quickly studies occur depends on staff availability and there are fairly long delays. Providers are often serving children before licensing occurs. SSA tries to ensure approval before FFP monies are paid.

Temporary Licenses: Temporary licenses good for a maximum of 120 days can be issued, with a second temporary possible. They are never issued if a severe life hazard, such as an uninsulated heater, exists. Generally they are given for correction of such things as lighting fixtures, changing locks, etc.

County workers rarely recommend issuance of temporary licenses for family day care homes.

When temporary licenses are issued, a letter is sent listing deficiencies and requesting written reply within 15 days giving a schedule for compliance. SHA then schedules a follow-up visit. There were no statistics on how many temporaries were issued last year; the number was believed to be "not great."

Revocations: Notice of intended revocation (as well as denial or suspension) must be sent registered or certified, or served personally. The operator is given 30 days within which to request a fair hearing. HSSD makes the hearing determination, which also must be sent registered or certified or personally served. A second appeal may be made to HSSD Board within 30 days; otherwise the revocation is final at the end of 30 days from notice.

Habitual drunkenness, drug addiction, disorderly conduct, consuming alcohol on premises and moral turpitude are grounds for revocation, as well as "acts adversely affecting safety or welfare of client within facility."

No licenses were revoked last year.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

SSA Contracts Services has responsibility for monitoring contract centers, and contract managers are expected to make monthly visits. The section has 7 staff, expect to have 18 if 11 requested positions get through budget. Staff are not specialized by type of service, but geographically, so contract managers may have 2 or 3 of the 10 Day Care Centers under contract. The Early Childhood Specialist also monitors ("evaluates") centers. SHA is responsible for monitoring non-contract centers and aims for four visits a year. They are also required to visit FDCH's at least once every 3 years, after a visit either immediately preceding or following licensing. The section chief intends that 4 visits a year be made to homes as well as centers.

County SSA workers are responsible for monitoring FDCH's.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

No aggregate records were available of monitoring activities. Contract Services has a monthly visit form being developed. The Early Childhood Specialist attempts to coordinate "evaluations" of centers with Contract Services monitoring.

There is no systematized monitoring of FDCH's. Day Care Workers visit them in the course of placing children or working with FDCH mothers with particular children.

### 8-3 PROCESS

Areas covered by SHA in monitoring visits are physical. SSA monitors child/staff ratios, program content, equipment, health records, etc.

The Early Childhood Specialist (ECS) working with the Day Care Advisory Committee, designed a plan for team evaluation of centers. Using simple forms color coded to Equipment, Child-Child Relationships, Adults, and Program, a team including Peer Evaluators, Consumer, County social worker, Early Childhood Specialist and (sometimes) Contract Manager, spends a day at the Center.

The most recent evaluation was of Gallup Day Care. The Director was involved in choosing the team peer evaluator, and setting a date. Following the visit the team discussed findings; ECS did draft write-up and circulated it to team members for comment. Final report goes to Center Director, County Worker, County Manager. All team members get copy.

(During site visit a provider meeting was held in Albuquerque where they were planning action on fee schedules. Center Director from Gallup discussed evaluation/Monitoring visit after meeting and was most enthusiastic. This kind of monitoring is seen as being also training and technical assistance, and centers request it.)

## 8-4 RESULTS

Results are not measureable. For all practical purposes, there is no monitoring of FDCH's. Contract centers are in compliance with FIDCR. It is not known to what extent other centers are in compliance.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The Early Childhood Specialist with advice and assistance from the 17-member Day Care Advisory Committee, takes the lead in provision of training and technical assistance to providers. SSA has a 3-person training unit in state office but they provide no child care training per se. They do order films and publications requested by the ECS, and she does a presentation on day care during every new worker orientation session put on by the Training Unit, the first week of each month. The Unit Chief also attends and evaluates sessions conducted by ECS. The training budget for FY 75-76 is $54,493.00. None of it is specifically allocated for day care. There is no line item in the budget for Technical Assistance.

Local: The ECS in state office provides training in county offices at their request. She stated that she trains most in Bernalillo County (Albuquerque) and that their staff attend Day Care Advisory Committee Meetings. In Santa Fe County the ASU supervisor trains day care workers on a one-to-one basis. The District is planning workshops which would include day care content. They have done no provider training, and give technical assistance only when requested by providers and to a very limited extent.

When the ECS does staff training in county, an evening session is given for providers and consumers.

Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| New SW's New Homemakers | Early Childhood Specialist-SSA | "What is Day Care?" Informal Lecture and demonstration | 2-3 hours once a month |
| All Day Care Staff in County Offices | Early Childhood Specialist-SSA | Significant articles from early childhood publications and Day Care Newsletter | monthly or less |

Additional training takes place in County offices but it was not quantifiable.

Provider Training and Assistance

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Centers | ECS-SSA | Workshops - Content determined by group. Has included toileting, low-cost materials, discipline, and early childhood generally | Monthly - to average of 25 providers and other interested persons |
| Centers/ FDCH's | ECS-SSA | Technical Assistance to specific provider problems | 10% of non-contract centers; 100% of contract centers; 2 days ea. |
| Centers/ FDCH's | ECS/Day Care Advisory Committee | Newsletter and other mailings | Monthly to all approved centers and homes & others who requested to be put on mailing list |

The quality of printed matter, newsletters, etc., and the creativity and imagination shown in agendas and workshop materials is very high, and cannot be reflected in a chart. Interchanges were observed between and among the ECS and providers/Day Care Advisory Committee members and it was remarkable.

As in other states, putting responsibility for training and technical assistance on field operations staff is wholly unrealistic, not because they lack qualifications but because of time constraints.

## 9-3 PROCESS

Training and technical assistance needs are identified through:

- Provider requests
- Monitoring
- Complaints from consumers and the public
- Workshop discussions

Groups identified as needing most training and technical assistance were family day care home mothers. It was also felt that top level HSSD Administration and board members and consumers needed education on the need for quality day care and what it is. The Advisory Committee has had some success in this area.

Major constraints to training and technical assistance delivery are dollars and people -- not enough of either is available.

One additional note about training and technical assistance: Contract providers have met a good part of matching funds with in-kind contribution of training and technical assistance from colleges and universities to center staff. The training thus obtained was seen by a number of people interviewed as unrelated and impractical in the real world of day care.

## 9-4 RESULTS

Staff interviewed found it difficult to evaluate the extent to which needs were met by what has been done in training and technical assistance. Evaluations of Center workshops indicate that providers found the sessions very helpful and they were able to define future sessions content needs.

The active involvement of the Day Care Advisory Committee in training and technical assistance has had measureable results in the formation of active provider groups and such things as a 30% increase in rates paid for day care.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Structure:

State - Within SSA, fiscal responsibilities rest in two units: Administrative Support's Budget Analyst, and Contract Services. Responsibility for accounting, auditing and data processing in HSSD is in the Offices of the Controller, Internal Audit, and Management Services. These offices have responsibility for all five agencies of HSSD. The Department of Finance and Administration (DFA) creates the checks for vendors.

Local - The only fiscal function of county offices in child care is the receiving of attendance sheets and parent certification from providers, and preparing authorization forms for the accounting division of DFA. In Santa Fe County, this function is performed by the Day Care Worker and/or supervisor.

Function: Program and fiscal are separate, in both location and function. HSSD fiscal operations are strictly support services. Within SSA, Contract Services and Program Planning and Development do not have a close working relationship. The budget analyst presently in SSA expects to be either relocated or have a different function. A new Fiscal Director is on board and organizational changes are anticipated in DFA.

### 10-2 FISCAL MATERIALS

All necessary written instructions, forms, and procedures have been published. They appear to be both detailed and clear, but have not been in place for sufficient time to be rated.

### 10-3 INCOME SOURCES

| Source | FY 74-75 | FY 75-76 |
|---|---|---|
| Title XX | $2,136,763 | Donations and certified expenditures in Title XX allocation were not broken out for Day Care. |
| Title IV-B | 10,598 | |
| WIN | 172,271 | |
| Other | | |
| TOTAL | $2,319,632 | $5,220,129 |

The 25% match for contracted child care services is met by donations and certified expenditures (in-kind contributions certified by donors to be directly related to service provision).

## 10-4 DISTRIBUTION OF INCOME

All monies were expended through purchase of services, either through contracts or vendored payments. In every child care arrangement an agreement is signed by the parent and SSA representative, usually a county social worker.

Center contracts are negotiated between the Center and Contract Services. The same agreement format is used for all Title XX Services with Article II, Scope of Services, specific to the service. Article II for Child Care specifies how many children may be served daily on an average daily attendance basis. It also covers facilities (group size and ages and child/staff ratios), environmental standards, educational services, social services, health and nutrition services, training, parent involvement, administration and coordination, and evaluation.

In other articles the contract is inclusive of all study items except provider eligibility determinations and fair hearing rights, which are covered in a separate document. It also does not have a subcontract statement.

## 10-5 RATE ESTABLISHMENT

Unit of Measurement: Per child day

| Provider Type | RATES | | |
|---|---|---|---|
| | Basis | Average | Range |
| Non-contract Centers | Actual Cost | $3.50/day | |
| Contract Centers | Actual cost | unknown | |
| Family Day Care Homes | Actual Cost | $3.50/day | |
| In-home | Actual Cost | $1.50/day | |

Prior to July 1, 1975, the maximum daily rate paid to non-contact centers and FDCH's was $2.50. SSA, with vocal support from the Day Care Advisory Committee, got the rate raised to $3 a day; and effective October 1, 1975, to $3.50 a day.

In-home Care is reimbursed at $1.50 per day because it is unlicensed.

Rates historically were set as low as the traffic would bear. Efforts continue within and from outside SSA to get more realistic rates, and a rate of $4.00 has now been proposed.

Both state office and field operations staff indicated strongly that: (1) rates should be higher; and (2) differentiation should be made by type and quality of care.

Contract centers are on cost reimbursement with a maximum amount for the total contract determined through a budget approval process.

The resultant difference in average per consumer expenditure is significant -- $1,233 per annum in Contract Centers, $486.00 in non-contract centers; and $489.00 in FDCH. (These figures do not include the department's administrative costs. Administrative costs in the contract centers themselves are believed to run about 40%; SSA's about 15%.)

## 10-6 IN-HOME CARE

In-home care may be provided by a relative who does not wish to care for unrelated children and therefore need not be licensed or by any person over 15 coming into the child's home to provide care. Payment is vendored, and the provider completes the attendance form and has the parent certification form signed. (A brief manual section sets forth guidelines for using in-home care but staffing constraints preclude significant amounts of social worker time going into the setting up of an in-home arrangement.)

No guidelines have been given on minimum wages, and the question has not been addressed in the state.

## 10-7 INCOME ELIGIBLES AND PARENT FEES

Income Eligibles: Eligibility is based on gross family income at a level of $5,600 for a family of four. This is equivalent to 49% of the state's median income. The level was set conservatively because of fear that day care costs would be prohibitive.

It is widely felt that many persons who were eligible as formers and potentials pre-Title XX will be found ineligible during the course of routine redeterminations of eligibility.

Ineligibles pay the full cost of care.

Parent fees will not be in effect as soon as the Title XX amendment process can be completed. (See overview) While fees are in effect they are collected by providers, and SSA pays the difference between fees collected and allowable rates.

No estimates were available of fees collected to date.

## 10-8 DONATIONS

The Title XX budget includes donations in the amount of $1,615,328.

# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: State supervised - county administered.

Description of Administrative Structure: The New York State Department of Social Services (DSS) is the state services agency (free-standing) designated to supervise the state's Title XX program. It is comprised of three program divisions and six administrative support divisions.

The Division of Services is empowered to supervise the management of the state's social services programs including Title XX child day care services. One of the Division of Services' three bureaus, the Bureau of Children's Services, is directly involved in the day-to-day management and supervision of the state's child day care program through its Day Care Services Unit.

The Division of Services' Bureau of Program Coordination (BPC) is responsible for fiscal management for all of the division's social service programs including child day care. While program personnel identify tentative allocations, the BPC has final approval and sign-off authority regarding programmatic allocations for all social service programs including child day care.

Responsibility for licensing is split among four different groups. In New York City, centers are licensed by the New York City Health Department; homes in New York City are licensed by the Agency for Child Development, considered part of the State DSS. The remainder of the state's day care facilities are licensed by reps in the State DSS Day Care Licensing Section operating out of regional offices or by local licensing examiners working in their respective counties. The DSS reps are responsible for licensing centers and those homes operating under POS agreements; local licensing examiners are responsible for sanctioning all other homes in their county.

Statewide there are three regions each with a DSS office having licensing and auditing responsibilities for the districts contained therein. Fifty-seven of the fifty-eight state districts are coincident with traditional county boundaries. Only the district encompassing New York City is different; it contains five counties. Each county has a designated social services agency headed by a County Commissioner and composed of at least one supervisor and one or more service workers. This agency is responsible for determining eligibility for services and for services delivery at the local level. Smaller field offices are usually scattered throughout the county.

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The New York site visit was conducted in January, 1976. Interviews were held with eight different officials at the state offices and a total of nine different staff members at the district offices in Schenectady (Schenectady County) and Syracuse (Onondaga County).

## 1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

| | Expenditures<br>FY 74-75 | Allocations<br>FY 75-76 |
|---|---|---|
| Total Social Services Allocation (Titles IV-A/XX) | $292,800,000 | $289,999,970* |
| Total Child Care Allocation (Titles IV-A/XX) | $120,377,000 | $158,981,511 |
| Percentage of Total Social Services Funds Allocated to Child Care | 41% | 55% |

*The decrease in overall social service funds reflects a reduction in New York's share of federal social services monies due to a loss of state population.

The proportion of total social service staff time allocated to child day care at the state level (including regional day care licensing staff employed by the state) is 14%.

The total number of FTE involved in child day care services at the state level (including regional licensing staff) is 43 FTE.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Providers* | Number FFP Children | Actual Expenditures<br>FY 74-75 | Anticipated Expenditures<br>FY 75-76 |
|---|---|---|---|---|
| Public Centers | 250 | 18,663 | Not broken down by provider type | Not broken down by provider type |
| Private Centers | 400 | | | |
| Family Day Care Homes | 4,500 | UNK | | |
| In-home Care | UNK | UNK | | |
| TOTAL | 5,150 | UNK | 143,042,000** | $166,181,511** |

* The figures cited pertain to facilities licensed in 57 of the 58 districts under the auspices of the State Department of Social Services. Day care facilities in New York City are licensed by the City Health Department and the Agency for Child Development, and are not reflected here.

** Includes expenditures for WIN day care and state overmatch funds.

*** Includes expenditures for WIN and CWS day care only.

Group day care homes, while under consideration as a new provider category in New York State, have not as yet been developed to serve clients.
Some providers serve a combination of FFP-eligibles and non-eligibles.

## 1-4 INFORMATION SYSTEM

Nature of Records: (At the time of the site visit.)

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | yes | The family with the child listed as service user | local level |
| Standardized social service forms | yes | The family with the child listed as service user | local level |
| Computerized records | no | | |
| Income maintenance records | yes | Family with the child listed as service user | local level |

Extent of Data: None of the data pertaining to consumers of child day care services had been computerized at the state level by the time of the site visit. Since the site visit, state respondents noted that the SSRR has assumed complete operation. Information contained in narrative social service records and standardized social service forms are retained only at the local level on standardized state forms. At both Schenectady and Onondage counties, narrative social service case records were complete for client identifiers and service cost data, but contained no goal data, demographic descriptors or service delivery data. Standardized social service forms at those sites were complete for goal data, service delivery data, demographic descriptors, and service cost data; no information pertaining to client identifiers is retained in these records. Neither local site had a computerized system for collecting client data.

Data Aggregation: Other than client eligibility characteristics and child counts normally aggregated by fiscal personnel from monthly county claim forms, no comprehensive client data aggregation process was in effect at the state level at the time of the site visit. The type of client data aggregated at the local districts is a function of each district's records policies. The Title XX reporting requirements, according to state respondents interviewed at the time of the site visit, will create compliance problems due to the inconsistencies in content arising from the collection of data from 58 autonomous state counties/districts. The lack of funds to provide T & TA to those local staff members who participate in compiling the information was also cited as a key factor retarding the state's progress in meeting Title XX reporting requirements. However, subsequent contact with state staff revealed that the SSRR system had become operational and that child care client data was now being aggregated at the state level.

## 1-5 STATUTES

In addition to licensing regulations, local health, zoning, and fire ordinances impact the delivery of child day care services. Also, state law mandates that income maintenance clients and those needing protective services must be the top priority population groups for all social services, irrespective of contrary data or needs assessments.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

State respondents cited the highly politicized nature of day care services as a significant problem in program continuity. They felt that the state's commitment to day care depends too heavily on the personal politics and preferences of public office-holders and not enough upon public need. In addition, they indicated that the creation of separate administrative structures for New York City and the rest of the state has fostered needless duplication of effort, has created confusion among New York City providers over which administrative guidelines they must follow, and has undermined the state DSS's ability to deal with New York City day care issues in areas in which the state has been given clear authority (i.e., collection of parent fees).

In addition, state officials, felt discouraged by the onset of large-scale staff cutbacks and budget-trimming coming in the wake of New York's fiscal crisis. State and local respondents almost unanimously believed that because New York had reached its federal social services ceiling (in 1972), inflation and a decline in overall population (which cut the state's absolute funding level by about $3 million this year) have combined to reduce the real value of the state's allocation. Meanwhile, according to state respondents, the need for day care services, as well as other social services, has continued to grow and can only be met by increasing the percentage of social service funds allocated to particular programs each fiscal year.

State respondents suggested that the day care program has been able to meet its intended goal (to facilitate the seeking of employment and training on the part of parents), but because of a very discouraging employment situation in New York State, child care recipients often do not find employment within the 60 day period mandated for day care service provision. Clients in this situation are thus forced to revert back to their own resources to obtain day care services.

On the other hand, respondents felt that the licensing and eligibility determination processes and client-provider relations seemed to be operating with a maximum of effectiveness given the absence of funds for an adequate number of staff.

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The County Commissioners were responsible for assembling and analyzing relevant data for the Title XX needs assessment. Primary responsibility was vested in the State Bureau of Program Coordination staff working with day-care staff and under the Governor's Title XX Task Force.

Level of Effort: Bureau of Program Coordination staff devoted 1 1/2 person years on the assessment which consumed about four months.

### 2-2 PROCESS

Scope: The state needs assessment covered client needs plus past and future services availability. It encompassed all social services including child day care.

| Sources of Information | Extent Utilized | Strategy |
|---|---|---|
| Documentary Sources | Utilized Extensively | 1970 Census data updated by BPC staff; past program briefs on day care research; data on client characteristics from district offices. |
| Agency Personnel | Used to some extent | All day care services personnel were tapped for judgement on needs assessment. |
| Service Providers | Utilized to some extent | Public hearings held after media outreach program was initiated. |
| Consumers | Utilized to some extent | Welfare Rights and numerous day care associations represented the interests of present and future consumers at public meetings. |
| General Public | Utilized to some extent | Approximately 50-100 persons attended hearings. Most responded to newspaper releases and ads. |

Due to time constraints, most data used to develop the needs assessment was extracted from reports and documents produced prior to New York's Title XX participation. Therefore, state officials feel the assessment tends to reflect the special needs of the groups or agencies preparing them and are not translatable into statewide consumer needs as intended by Title XX. A more extensive and accurate needs assessment is planned for the next program year.

## 2-3 RESULTS/UTILIZATION

Specific numerical results were generated in relation to:

- Client Type (by income gradients)
- Geographic Area (58 different districts)
- Service objectives based on local data sources

Degree of Intergration Into Planning Process: The assessment resulted in state program staff examining day care needs by population groups and defining them as functions of services supply as well as existing demand.

Unmet Needs: The major unmet need cited by state officials was that rural poor in need of day care services had few or no day care providers available to serve them.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

On-going Planning: Some child care planning was done at the state level by the Day Care Unit. In addition, the Program and Financial Planning Section in the Division of Services was responsible for overall social services planning. The unit was organized under federal guidelines promulgated under the then current Community Services Act. It was then scrapped for one geared for Title XX requirements, prior to Title XX. It continued to have responsibility for all social services including child care. No major child care planning efforts were undertaken by this unit prior to Title XX.

Title XX Planning: This same unit was charged with basic responsibility for Title XX planning in conjunction with the Governor's Task Force. After the plan was in draft, the planning unit assumed total responsibility for finalizing the Title XX plan. The Day Care Unit participated with the Program and Financial Section by developing budget forecasts.

### 3-2 PLANNING PROCESS

Once the local districts had submitted their data sources for the needs estimate, state staff conducted the overall planning effort. Under Title XX, the process of planning became more structured and coordinated. The effort was more extensive and exacting than previous efforts. Child Care Planning was no more extensive than other social services planning. The state interfaced Title XX and WIN planning (the WIN program exists in only nine districts) and family planning under Title IV-A. Title IV-B was used primarily to fund social service demonstration projects. According to respondents, Title XX is the first time a comprehensive multiple social services planning effort was attempted at the state level.

3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types and Numbers | Comparison |
|---|---|---|---|---|
| Total # to be served | YES | YES | Approximately 75,000 children | Same |
| Population Categories to be Served | YES | NO | AFDC-WIN (in 9 districts<br>AFDC-non-WIN<br>Income eligibles<br>SSI recipients<br>Children needing protective day care | Same |
| Priority Population Categories | YES | NO | 1. Income maintenenace groups and those needing protective services.<br>2. All other groups | Same |
| Service provider Types | NO | NO | - - - - - - - - | Same |
| Special Provider Attributes (e.g., hours of service) | NO | NO | - - - - - - - - | UNK |
| Geographic Areas | YES | YES | All 58 service districts | Same |
| Dollars Allocated for Child Care Service | YES | YES | $158,981,511 for a 12 month fiscal and program year. | More |

Planned Organizational Changes: The State Day Care Services Unit was reorganized and included a reallocation of social service staff to handle the increased funding for day care. A special New York City day care monitoring unit was set up to monitor facilities serving FFP clients.

3-4 UTILIZATION/IMPLEMENTATION

No major changes have been made, but radical changes could be in the offing since local districts will be doing the planning and deciding what their own needs/wants are for the next program year. To facilitate this the state has set up a structure for local districts to increase their planning and assessment capabilities for the next plan. It consists of guidelines contained in transmittal notices plus training programs set up at three universities -- Columbia, SUNY-Albany, and the Maxwell School of Public Affairs at Syracuse University. The latter is funded through a HEW #426 Grant.

## 4. EVALUATION

No Statewide Child Care Evaluations Have Been Conducted.

However, the state is currently conducting an evaluation of the impact of day care on facilitating employment in New York City. The results will be fed into the formulation of the Program Year Two Plan. It is expected that this initial effort will lead to a more broad-based study in the future.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

No I & R programs or information and referral services are offered at the state level. In Onondaga County, the Social Services Department has chosen to utilize the Services of an already existing I & R program as a local equivalent (The Onondaga County Information Referral and Resource Service, OCIRRS). The system was developed by a local volunteer group under the asupices of the Metropolitan Commission on Aging and the local United Way. A special staff member in the Onondaga Social Services Department is responsible for coordinating her activities with the OCIRRS network to provide information and referral for all social services including child are. Other social service workers and voluntary agencies also provide child care information and referral (to a lesser extent) by utilizing the OCIRRS network.

In Schenectady, no I & R program has been implemented, but information and referral services for all social services including child care is provided by SAU-WIN staff members, local income maintenance workers, voluntary agencies, licensing and social service workers.

### 5-2 PROCESS

Assembling Information: No one at the state level is responsible for assembling information. Essentially, the responsibility for this task varies by district. In Schenectady, social service caseworkers assemble information on centers, a local licensing examiner assembles information on family day care homes, and an income maintenance examiner assembles back-up information on centers and homes and primary information on in-home providers.

In Onondaga County, service workers in the County Department of Social Services' Child Welfare Division assemble information on all providers.

| | Systematized? | | Freq. Updates | | Information Compiled* | | | |
|---|---|---|---|---|---|---|---|---|
| Provider Type | Schenectady | Onondaga | Schenectady | Onondaga | Ages | Hrs. | Cost | Avail |
| Centers | YES | YES | Annual | Daily as needed | YES | YES | YES | YES |
| Homes | YES | YES | Annual | Daily as needed | YES | YES | YES | YES |
| In-home | YES | YES | Annual | Daily as needed | YES | YES | YES | YES |

* Pertains to both Schenectady and Onondaga Counties.

Disseminating Information: No formal information dissemination or outreach takes place at the state level. Officials stated that this is an intentional strategy. Given declining state resources, information dissemination and outreach activities could only stimulate service demands that could not be met. In Schenectady County information dissemination is sporadic, and usually consists of informational brochures being mailed to prospective providers. No outreach activities are undertaken in Schenectady County. In Onondaga County information is distributed to providers on a special form as often as changes occur. In addition, active outreach is undertaken to recruit providers (i.e., TV spots) and numerous brochures are distributed to potential consumers informing them of services.

Assessing Client Need/Referral and Follow-Up: In general, local social service workers have the authority and capability to assess the need for child day care. The potential client's first worker contact generally determines which social service worker will conduct the assessment. However, in Onondaga County, the I & R coordinator alone has this responsibility. Generally, the child's age, family composition, developmental level, the hours and cost of care and the location of the facility are the determining factors in the assessment.

Parents normally are responsible for making arrangements with and choosing providers, with assistance from the worker. Parents also secure medical examinations for their own children. Workers assist in providing names of physicians. Day care assessments are normally accomplished in about forty-five minutes.

No systematic follow-up to ensure the receipt of services takes place at either local site.

## 5-3 RESULTS

No aggregate data on any of the following information was available at the state or local levels.

Time period: ---

| | |
|---|---|
| Number clients seeking child care referral | Unk |
| Number actively assisted | Unk |
| Number securing their own services | Unk |
| Number unable to secure services | Unk |

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

Both the establishment of eligibility regulations and the development of standardized application forms are the responsibility of the State Department of Social Services. Local social service workers (special intake workers in Onondaga County) are responsible for actual eligibility determination and for securing completed applications. A statewide fee schedule has been developed by the DSS State Day Care Services Unit.

### 6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC-non-WIN
- SSI recipients
- Income eligibles defined as anyone whose gross family income does not exceed 90% of the state median income for a family of two ($727/month) or 80% of the state median income for any other sized family (i.e., for a four-person family, $951/month). The state fee schedule was recently revised according to gross income as a percentage of the state median income and also included a special fee schedule for New York City. At the time of the site visit, income eligibility was based on net income and indicated that:
    - Child care is free for all clients in all size families earning less than 80% of the state median income adjusted for family size ($951/month for a family of four).
    - A sliding fee scale is used only for two person families earning over 80% but less than 90% of the state median income ($647-$727/month) adjusted for that size family.
    - Full payment is required for all two-person families whose incomes exceed 90% of the state median income adjusted for a two-person family and all other families whose incomes exceed 80% of the state median income adjusted for family size.
- Children needing day care as a protective or preventive service
- Home Relief clients (i.e., persons ineligible for other financial subsidies but who have subsistence incomes).

Other qualifying conditions that must be fulfilled to be eligible for compensable child day care services are that the client must be (1) in training leading to employment or (2) actively seeking employment or (3) incapable by reasons of physical or mental health of caring for a child or (4) unavoidably absent from the home.

Population priorities have been designated in the following order:

1. Income maintenance groups and those needing protective services.
2. All other groups.

Revisions Since the Passage of Title XX: Income eligibles were subject to a gross income rather than a net income qualifying standard which according to state respondents had the effect of reducing the number of eligibles.

Materials to Ensure Uniform Interpretations: Guides for determining eligibility under Title XX have been developed and distributed to all front-line workers.

New statewide fee schedules based on gross client income have been developed and are now widely disseminated.

## 6-3 PROCESS AND VOLUME

Applications: Standardized application forms developed by the State DSS are used statewide. Local service workers are responsible for securing completed applications.

Neither the total number of social service applications nor the total number of child day care applications are available on a statewide basis. In Onondaga County no figures on the total number of social services applications were available; however, 1204 child day care applications were received in FY '75. Approximately 4 FTE were allocated to process child day care applications there. In Schenectady, some 500 (10%) of the total number of social service applications were for child day care in FY '75. Approximately .8 FTE processed these applications.

Eligibility Determination and Verification: The client is always considered the first source of information and is responsible for providing the documentation requested by the social service worker and for notifying the worker of any change in their income status. District workers who make the actual determinations must follow state guidelines on documentation and verification. They may, however, use their own discretion in choosing which type of state-specified documentation is requested. Clients usually begin to receive services immediately after determination of eligibility.

The time lapse between completion of an application and eligibility determination is about 30 days (maximum). Average time is 15 days. Services begin when the eligibility supervisor verifies the determination. No figures are available that indicate ineligibles vs. eligibles.

Quality Control: While the state has no systematic regulations governing this management area, a State Quality Control Unit does audit a selected sample of determinations each year. The chief quality control methods used are those locally imposed by the eligibility workers in the various districts. Local staff at the two sites visited, edit applications for completeness after receipt from providers. They also review client history as a way of cross-checking the information.

Redetermination of Eligibility: Eligibility is redetermined every six months or more frequently if there are reported changes in client status. When clients are found ineligible, services are discontinued and clients told of their right to a fair hearing. In instances where the appeal fails, clients are usually referred to other agencies for available services.

Appeals: No aggregate figures on the number of appeals were available at the state level. There were no appeals at either of the local sites in FY '75.

## 6-4 PARENT FEES

Fees are set by the State DSS within limits specified by the state's sliding fee scale. At the time of the site visit, client fees ranged from a low of 50¢/week to a high of $5.00/week.

## 7. LICENSING

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The State DSS is responsible for the development and enforcement of all day care licensing standards for centers and homes except for centers in New York City which are the sole responsibility of the New York City Health Department. The actual licensure of centers outside New York City is the responsibility of a special DSS Day Care Licensing Section which deploys state reps who work out of regional offices. Centers in New York City are licensed by the City Health Department. The DSS Day Care Licensing Section also licenses homes operating under state POS contract, outside New York City. Homes in New York City are licensed by the Agency for Child Development, an arm of the State DSS. Homes not located in New York City nor operating elsewhere under POS contract are sanctioned by licensing examiners operating out of their individual county social service offices.

Local fire, zoning and health agencies are also involved in the licensing process. They are usually coordinated by the same worker responsible for licensure of that provider type.

In-home care is not licensed but is subject to an approval process conducted by the local social service worker. The state has the responsibility for ensuring standards.

Staffing: Statewide, there are now fourteen DSS licensing representatives, two fire and safety inspectors, and three supervisors who spend 100% of their time licensing child care facilities. Two of the state staff are architects who are experts on facility design and safety. In sum, about seventeen FTE's are allotted to day care licensing activities from this unit. All licensing representatives are authorized to recommend license denials and revocations with final authority vested in State Day Care Licensing Section supervisors.

The number of county DSS licensing examiners, their FTE, and the percentage of time they devote to day care licensing is not available on a statewide basis, as is the case with the personnel conducting licensure in New York City.

The minimal educational background for licensing representatives is a B.A. plus some social work experience. There is a manpower training program to assist all licensing staff in acquiring knowledge and skills in their field. There are periodic workshops given and staff are encouraged to attend.

## 7-2 STANDARDS

Standards Development Process: The standards for day care homes, private and public centers were updated in '69. According to respondents, most of the standards were developed to be in conformity with FIDCR. Day care agencies, associations, state and local day care staff, and the Child Welfare League provided input in the 1969 standards development process. Presently, standards are being reviewed to determine if other areas might be updated.

Content of Standards:

Staff-Child Ratios

Centers:

| Ages | Ratios | Maximum # in Group |
|---|---|---|
| 8 weeks-18 months | 1:4 | 8 |
| 18 months-3 years | 1:5 | 10 |
| 3 years | 1:5 | 15 |
| 4-5 years | 1:7 | 20 |
| 6 years - 14 years | 1:10 | 25 |

Group Day Care Homes are not an identified provider type in New York.

Family Day Care Homes: Day care in a family home shall mean day care of not more than six children provided in an individual's own home, including the operator's own children. No more than two children under age 2 permitted.

The Standards For Centers and Family Day Care Homes Include:

- Facility Standards
- Fire and Safety Standards
- Sanitation Standards
- Child Health Standards
- Administrative Component
- A Program Component
- Nutritional Component
- Educational Equipment Provision

Comparison of Licensing Standards with FIDCR: New York has standards that exceed FIDCR. They are:

- New York requires provision of a hot lunch, FIDCR does not.
- New York specifies square footage per child (35 ft.), and FIDCR does not.

The standards for family day care homes coincide with FIDCR. New York's standards for centers compare favorably with FIDCR in almost all age categories except the 19-month to 3 year old category and the maximum group size limit for 4-5 year olds.

While there is no separate FIDCR certification process, state officials felt that since state standards are so close to FIDCR, certification for FIDCR is implied by licensure.

Respondents felt that since New York has long had high quality standards, there has been little negative impact from FIDCR on the number of applicants seeking provider status. Few providers have withdrawn, and most are willing to comply with FIDCR because it does not constitute a significant departure from previous licensing standards. No major change in standards has yet occured subsequent to FIDCR. Those additions that were made were primarily for the benefit of the provider. Such as:

- The development of a fair hearing process
- Updating the immunization process
- A published licensing procedure distributed to inform providers
- Vehicles used to transport children must be safety inspected

## 7-3 SUMMARY OF LICENSING ACTIVITIES

| Service Type | Sanction Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Tot. N | % Lic. | % Disq. | Planned | Actual |
| Public Centers | License | 250 | 100% | About 20(.3%) in total for FY '75 | Annually | Annually |
| Private Centers | License | 400 | 18% | | Annually | Annually |
| Family Day Care Homes | License | 4500 | 45% | | Annually | Annually |
| In-home | Approval | UNK | N/A | N/A | N/A | N/A |

Fee For Licenses: No Fees are charged.

Content of License: The licenses for both centers and family day care homes include:

- Date of issue
- Expiration date
- Maximum # of children to be served
- Maximum # of hours in a 24-hour period
- Age range of children
- Other limitations

## 7-4 LICENSING PROCESS

Areas of Investigation: For both family day care homes and centers, a licensing study covers:

- Physical characteristics
- Staff/Provider characteristics
- Education program/component
- Nutritional component provision
- Verification of medical clearances
- Provisions for handling sick children, accidents, etc. *
- The extent of parent involvement **

Extent and Nature Of Process: All known providers must be licensed. Most providers hear that a license is required through word-of-mouth, and others hear from TV and newspaper announcements, licensing workers making community contacts, or through state-dispensed literature. There is a structured format for conducting a study. For homes, one visit within a 30 day period is required to complete a study. Fire and health code requirements are the usual problems impeding licensure. For centers, three to four visits within a 30 day period are required to complete a study. Respondents indicated that public centers tend to attain licensure more readily than their private counterparts, because these providers, as a result of extensive licensing information dispersed to them by the state, tend to be highly cognizant of what is expected of them prior to a licensing investigation. Follow-up is normally conducted within thirty to ninety days after licensure for all provider types.

Conditional Licenses: The State Day Care Licensing Section issues short-term licenses only for centers for up to ninety days. State officials refer to these as "temporary" rather than "conditional" licenses. If the short-term license expires and the provider is not in compliance, the license is not issued and the licensing representative recommends withdrawal of the children. The permit usually calls for specific upgrading functions to be performed prior to the worker's second visit, some three months later. At that time the physical adequacy of the facility is re-evaluated and the worker makes an initial assessment of the provider's capability in working with children. Most of these short-term licenses are issued as a result of inadequate plumbing, improper fencing and the presence of fire hazards. In the past fiscal year, 150 short-term licenses were issued statewide for centers.

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* Applies to family day care homes only.
** Applies to day care centers only.

Revocations: The following describes the usual procedure for revoking a license for the DSS Day Care Licensing Section:

- The facility is notified by mail of non-compliance by the appropriate licensing representative
- A follow-up visit is conducted by the licensing representative
- A second letter of notification listing a time limit for final compliance is sent
- Notification is sent to the State Licensing Section where a decision on the representative's recommendation is made
- The provider can then make an appeal
- Legal action to close the facility takes place if the appeal fails

Similar procedures are followed at the local level by personnel responsible for licensing facilities there (i.e., Licensing Examiners and licensing workers in New York City). After a revocation decision is made, local officials notify the state of the final decision.

No licenses were revoked in the state last year, according to state respondents.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

State: The state DSS has no responsibility for monitoring child day care activities. State licensing staff monitor centers on a problem basis, however. This is discretionary and is not governed by formal state policies.

Local: Local DSS staff are responsible for monitoring child day care activities in their district. The organizational arrangement varies from district to district.

In Schenectady County, monitoring responsibility is split among four types of workers. Local licensing examiners monitor local family day care homes for licensing compliance. In addition, three other local specialists, a service intake worker, a caseworker, and a social welfare examiner monitor centers for licensing compliance. The social welfare examiner and the caseworker also monitor consumers for services delivery effectiveness.

In Onondaga County, a special monitoring unit called the Undercare Unit is responsible for monitoring centers and homes. Liaison workers within the unit are responsible for monitoring centers for licensing compliance while undercare workers (also part of the same unit) do the same for family day care homes.

The personnel responsible for child care monitoring in Schenectady County allocate less than 50% of their time to child day care monitoring and in total comprise about .5 FTE for day care monitoring.

Staff in the Undercare Unit in Onondaga County allocate 100% time to child day care monitoring and comprise approximately 8 FTE.

Manpower allocations, according to respondents, were deemed adequate in both counties.

## 8-2 SUMMARY OF MONITORING ACTIVITIES

| | Type of Monitoring Activity | By whom Monitored | Percent/# Monitored | Frequency | Av. Time per Unit |
|---|---|---|---|---|---|
| Schenectady County | Monitoring Providers for licensing compliance | | | | |
| | • Centers | The local Service Intake Worker, Caseworker, and Social Welfare Examiner. | 100% (6) | Monthly | 1/2 to 1 1/2 hrs. |
| | • Homes | | 100% (77) | Monthly | 1/2 to 1 1/2 hrs. |
| | Monitoring Consumers for Service Effectiveness | The local Welfare Examiner | Unk | Unk | Unk |
| Onondaga County | Monitoring Providers for Licensing Compliance | | | | |
| | • Centers | Undercare Unit Liaison Workers | 100% (19) | Quarterly | 2 hrs/site |
| | • Homes | Undercare Unit Undercare Workers | 100% (195) | Quarterly | 2 hrs/site |

## 8-3 PROCESS

The areas covered by local monitors in Schenectady are not specified.

The areas covered by the Undercare Unit in Onondaga County include:

- Staff-child ratios
- Health component
- Safety standards
- Provider-child relationship
- Adequacy of equipment

No formal monitoring policies governing actual practices have been established at the state level or in Schenectady County.

Onondaga County has developed specific policies governing monitoring with respect to:

- Frequency of monitoring
- Content of monitoring
- Form of monitoring
- Types and numbers of providers to be monitored

Formal guides or checklists are not available to monitoring personnel in Schenectady to assist them in making their observations. In Onondaga County, no formal checklist is available either. However, hand dictation machines are used to record all monitoring observations relating to the specified compliance areas.

Scheduled site visits are the dominant monitoring strategy used in both local districts.

## 8-4 RESULTS

Local officials in both counties reported no providers were out of compliance with state standards.

The areas of greatest compliance difficulty cited on the local level were finding adequate facilities, meeting staff/child ratios, and developing parent involvement.

The Onondaga and Schenectady Counties, follow-up actions to monitoring consist of the provider being informed about the area(s) of non-compliance with a target date set for achievement. By the second follow-up visit, according to local interviewees, compliance is almost always achieved.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The State Day Care Services Unit Program Supervisor and field representatives are primarily responsible for providing T & TA to centers and homes throughout the state. It is estimated that 1/4 FTE staff members are annually allocated to child care-related training and approximately 2 FTE staff members are allotted to provide technical assistance. No money is specifically budgeted for these acitiviies.

Local: The responsibility for providing T & TA at the local level varies from district to district. In Schenectady, no one is specifically designated to supervise the provision of T & TA activities. In Onondaga County, the Staff Development Division of the local DSS is responsible for providng T & TA for all social services including child care.

According to respondents in Schenectady, no T & TA activities took place there in FY '75. In Onondaga County, .10 FTE were allocated for child day care related T & TA activities in FY '75. The amount budgeted for these activities is not available.

Staff Background: Staff members at the state level are required to have an M.S.W. or an M.A. in a related social science. State field representatives generally have at least a B.A. in a variety of fields ranging from education to sociology. Local staff Development Division personnel in Onondaga County are required to have, at a minimum, partial completion of an M.A. in Social Work and at least two years of qualifying work experience in human services provision.

### 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Local Social Services Staff | State Day Care Services Unit Personnel | Training on eligibility processing. | to all 58 districts |
| Local Social Services Staff in Onondaga County | State Day Care Services Unit Personnel | Management seminars; seminars on management of in-house training programs. | to one district-Onondaga County |

Provider Training and Assistance

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| A statewide conference of providers | State Day Care Unit Personnel | 3-day conference in Albany for 80 providers nominated by their districts on the content of licensing requirements. | 3 days |

While Onondaga County does have a designated T & TA unit, no child care related staff development or provider training activities had been undertaken as of the site visit.

## 9-3 PROCESS

Identification of Need for Training and Technical Assistance: The methods used to identify training and technical assistance needs at the state level include:

- Job analysis of field staff by Day Care Services Supervisors.
- Audits from State Quality Control Unit point up areas of concern.
- Obvious problems in day-to-day operations.
- Reports from Licensing Representatives' field trips on provider difficulties.

Local licensing examiners and providers were identified as the groups with the greatest need for T & TA. A constant influx of new licensing examiners has created a continual need for upgrading their skills. Major needs among providers are for basic child development and program planning skills. Phone calls and transmittal notices are the dominant methods used to deliver T & TA. Seminars and site visits are used sparingly, according to state staff, because the state's assumption is that in a state-supervised system, T & TA information ought to be communicated in transmittal notices. The state system, they stressed, was really not set up to provide much in the way of on-site T & TA.

## 9-4 RESULTS

State officials felt that their limited training and technical assistance efforts had been of minimal benefit to recipients. No formal assessment of T & TA activities is possible, since the state has no systematic follow-up to evaluate the effectiveness of training and technical assistance services. However, the state does review the content of regular field reports as a way of gauging the effectiveness of infrequent training and technical assistance delivered to providers and local staff.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

State: The Division of Services' Bureau of Program Coordination (BPC) is responsible for fiscal management for all of the division's social service programs including child day care. There is no separate child day care fiscal unit.

Local: Local districts are also responsible for child care fiscal management and, consequently, have separate fiscal and accounting units.

Function: The state fiscal unit in conjunction with day care program staff develops day care budget projections, unilaterally reviews and signs-off on budgets prepared by the overall DSS fiscal unit, and determines the allowability of expenditures proposed by local districts. The local districts pay all provider vouchers originally and are subsequently reimbursed by the state fiscal unit. State fiscal unit personnel spent the majority of their time processing reimbursement claims from the local districts for the DSS's multiple social services programs including child day care.

### 10-2 FISCAL MATERIALS

All materials other than rate schedules and attendance forms are available and regularly used at the state level. The aforementioned forms are used exclusively at the district level. Most forms were developed by the BPC or the overall DSS fiscal unit, the Administrative Services Unit. Fee schedules, audit reports, and the cost allocation guides were rated good, while all other forms are rated excellent. It should be noted that many of the forms were prepared by the same staff members assigning the rating.

### 10-3 INCOME SOURCES

| Source | % FY 74-75 | % FY 75-76 |
|---|---|---|
| Title XX/IV-A | $120,377,000 (unk) | $158,981,511 (95.6%) |
| WIN | $ 5,500,000 (unk) | 6,400,000 (3.8%) |
| CWS | Unk | 800,000 (.6%) |
| Other: | Unk | --- |
| TOTAL | Unk | $166,181,511 (100%) |

The local share is a composite of state, county, and city (New York City) funds.

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| METHOD | Expenditures FY 74-75 | Anticipated Expenditures FY 75-76 |
|---|---|---|
| Purchase of Service | | |
| Contracted Facilities | $143,042,000 | UNK |
| Vendor-paid Facilities | | |
| Direct Provision/Operation | None | None |
| Client Purchase with Social Service Reimbursement | None | None |
| TOTAL | $143,042,000 | $166,181,511 |

Description of Funding Methods/Processes:

A. Purchase of Service/Vendor Payments: The local districts purchase services primarily from private centers. Public purchase is moderate. Services are also purchased from 4500 family day care homes.

In addition, a vendor payment procedure governed by a "letter of intent" rather than a formal purchase of service contract is used in instances where the provider is serving four or fewer clients. While state officials were aware that this did not conform to Title XX contracting requirements, they felt that these abbreviated contracts had been so successful that they planned to ask the federal government for an easement. Expenditures by provider type under POS or the vendor payment system are not available.

No formal contract management organization exists. Instead, the State fiscal unit provides assistance to the districts in developing their individual purchase of service contracts. While the state has developed a standard purchase of service contract form (with separate attachments for each provider type), it essentially serves as the model for the local districts to follow in developing their own contracts. The state contract form currently contains all but one of the required Title XX components (i.e., the location of facilities contracting as providers is not specified).

No large scale sub-contracting is undertaken.

The quality control procedures used by the state in reimbursing the local districts include:

- Randomly selected claims are subject to audit locally and post-audit at the state level.
- Locally maintained client records are checked against the data reflected in the claim at the district offices.
- Logs on the invoices paid are kept manually at the district level to minimize duplicate payments.
- Overpayments are adjusted by the state fiscal unit which reduces the subsequent payments to the district accordingly. The local district must then receive the problem with the provider on its own.

B. Direct Provision: None.

C. Client Purchase, with Income Maintenace Funds: The allowable cost for child day care is deducted as part of employment expense to determine the base for client AFC entitlement. To ensure that the client has used the designated amount of the cash grant for child day care services, the state makes the cash grant out in the client's name but sends it to the client c/o the provider. Previously, the cash grant was sent directly to the client. However, state interviewees indicated that this system was highly vulnerable to client abuse. In FY '75, approximately $13,200,000 was expended for client purchase of day care with income maintenance funds.

## 10-5 RATE ESTABLISHMENT

Unit of Measurement: Varies by locality; usually per child/week.

| | RATES | | |
|---|---|---|---|
| Provider Type | Basis | Average | Range |
| Centers | Locally determined | $4/day (approx.) | $2.50-10.00/ day |
| Family Day Care Homes | Locally determined | $4/day (approx.) | $2.50-10.00/ day |
| In-home | Locally determined | UNK | UNK |

Maximum rates permitted: $50/week/child set by state.

## 10-6 IN-HOME CARE

In-home care may be used only to provide services for employed ADC recipients. By definition, care must be given in the child's own home. The reimbursement rate for in-home care is established at a level set by each local district. The minimum wage has not been an issue to date.

## 10-7 INCOME ELIGIBLES AND PARENT FEES

Only two-person families earning between 80% and 90% of the state median pay fees (based on a sliding scale). Day care is free for all clients whose earnings do not exceed the 80% level, irrespective of family size. State regulations forbid public clients from paying more than private persons. The minimal fees collected are used to reduce the cost of service.

## 10-8 DONATIONS

The total amount of donations could not be determined; however, respondents indicated that they were very minimal.

# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: State supervised, county administered.

Description of Administrative Structure: In North Carolina, the 100 county Departments of Social Services are mandated by law to make available certain defined income assistance and services programs. Each county department of social services has a Board of Social Services which supports the Director of the department in planning services, while county commissioners have the authority to appropriate local monies to support social service programs.

Policy making authority for the statewide social services program rests with the state Social Services Commission. The State Division of Social Services (DSS) is responsible for implementing the commission's policy.

As in many other states, government reorganization has resulted in the creation of a Department of Human Resources (DHR) which includes the Division of Social Services (DSS), the Office for Children (OFC), the Division of Mental Health Service (DMHS), the Division of Health Service (DHS), the Division of Blind Service (DBS), Vocational Rehabilitation (VR) and some centralized staff support functions, such as Personnel and Staff Development. While the Department of Human Resources is the designated Title XX State Social Services Agency, the State Social Services Commission is responsible for the establishment of the Title XX state plan (subject to the Governor's approval) and policies which are implemented by division staff. The DSS provides supervision, technical assistance and guidance to the county Departments of Social Services and performs certain regulatory functions mandated by state and federal law.

The top management structure of the DSS consists of a Director, one Deputy Director and 3 Assistant Directors. Staff assigned from the DHR to DSS in Personnel and Staff Development report directly to the Director, as do staff of the Division's Office of Planning and Office of Quality Assurance. The Deputy Director has line responsibility for Medical Services and for the 3 major sub-divisions: Fiscal Management, Services Delivery, Programs and Policies. Each subdivision is headed by an Assistant Director. Responsibility for management of all services, including Day Care, is shared by the 3 major subdivisions.

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The North Carolina site visit was conducted in January, 1976. Interviews were conducted with staff in the state office and local personnel at two sites.

The report based on the site visits was accepted by the state only after extensive revision and amplification by Division of Social Services staff. All of the state comments are contained herein.

The Fiscal Management subdivision is responsible for implementing fiscal policy established by the Commission, formulating recommendations for policy (with input from other DSS staff), lending staff support to other DSS staff in formulating policy which impacts on fiscal operations, approving budgets under statewide contracts, and reimbursing county departments and other service providers the appropriate federal and/or state share of allowable expenditures.

The Programs and Policies sub-division is responsible for the coordinated development of, analysis of, and issuance of program instructions (based on federal **law**/or Commission policy) which enables each county department to perform income assistance and service functions. The Programs and Policies subdivision includes the Family Services Section, the Disability Determination Section, the Income Maintenance Section, and the Child Support Enforcement Section.

The Family Services Section is responsible for the state level management of services to adults and children including program development, written guidelines defining the nature, scope and appropriate use of each service, services eligibility policy, regulatory functions of licensure or certification, and management of contracts with service providers.

The Family Services Section contains seven administrative units (Branches) two of which are the Contract Services Branch and the Children's Services Branch. The Contract Services Branch is responsible for overall management of contracts with other provider agencies and for specific supervision of statewide contract service providers.

The Children's Services Branch is responsible for carrying out state management functions for all DSS Children's Services, including Day Care. The Day Care Services Unit, within the Children's Services Branch, has two functions: (a) provision of policy and procedural materials about the service to county departments, and within the Division, and (b) approval, review, and monitoring (through 8 regional Day Care Consultants) of the regulatory process of certification of day care programs receiving funds administered by the DSS. Unit staff works closely with Day Care Training Associates (DHR Staff Development personnel assigned to the Division) to provide training for the multi-level county service personnel and caregiving staffs in day care programs.

The Service Delivery subdivision is responsible for: Civil Rights review and, through four DSS regional offices, the delivery of supervision, and technical assistance to county departments in the delivery of income assistance and service programs. As the Division's field staff, regional personnel disseminate, interpret, or seek interpretation for, written policy and procedural material prepared by state level management (the central office) in addition to monitoring county service delivery.

Within the 4 DSS Regional offices, there are 10 Regional Service Representatives who provide assistance to the county departments in the understanding and implementing of social service programs including an effective day care services program. Regulation of services provided by certified child care facilities utilized by a county department is the responsibility of the regional Day Care Consultant. The regional Day Care Consultant is one of several service specialists who receives administrative supervision from the Regional Office Director and Services Supervisor, while programmatic supervision and final approval of facilities regulated come from the central office Day Care Services Unit.

An important element in the delivery of appropriate day care services is the day care training capacity in North Carolina. While community colleges, universities and other agencies provide some training, the state DSS has developed two state day care training sites and has Title XX training contracts for day care services training with seven major universities for statewide training of county Departments of Social Services personnel, staffs of certified programs, and those applying for certification, and other individuals in the state who work with these child care resources.

In addition to the Child Day Care Services of the DSS, two other agencies within the DHR provide funding and exercise program control over certain child day care programs:

- The Office For Children

The Office for Children (OFC) administers Appalachian Regional Commission funds which are used to support services provided in five regional operations in 29 western counties of North Carolina. Utilizing a state appropriation and certain local funds, the OFC has entered a statewide contract for the purchase of child day care with Title XX funds for children in families eligible for such assistance who are also using the programs in the 29 county area.

In order to receive ARC funding, or Title XX under this contract, the programs must meet local ordinances or state licensure as required, meet and maintain certification standards, and be successfully evaluated by the Office for Children staff as meeting OFC program standards.

- The Division of Mental Health Services

The North Carolina General Assembly provides to the Division of Mental Health Services (DMHS) grant-in-aid funds to be utilized to assist in offsetting the cost of developmental day care/day treatment for moderately, severely, or profoundly retarded children. The DMHS uses a portion of this appropriation to provide the nonfederal share for a statewide Title XX contract for the purchase of child day care services for children in certain day care programs which in addition to being eligible for Title XX, meet DMHS criteria for receipt of grant-in-aid funds. The contract can be utilized in all 100 counties if appropriate programs exist.

In order to receive DMHS grant-in-aid, a developmental MR program must meet local and state requirements as appropriate and must meet DMHS program standards. To receive funds through the Title XX contract between DMHS and DSS, programs must also be certified. Of the 78 programs receiving DHMS grants-in-aid, 60 are certified and most of the remaining are in the process of being certified.

Regulation of Child Care Facilities: In order to receive State and/or federal funds in North Carolina, a child care program must meet any local ordinances, satisfy state licensure requirements and be approved as meeting the appropriate program standards required by each funding source.

- Licensure

The Child Day Care Licensing Commission is responsible for administering the mandatory state requirements for licensing of day care operations in North Carolina. The Office of Child Day Care Licensing, located in the Department of Administration, implements the law and policies established by the Child Day Care Licensing Commission. The office is completely separate from DHR and DSS and has a staff of five licensing analysts located centrally at the state capital who are responsible for licensing and monitoring licensure.

All persons and organizations caring for children on a daily basis are not required to be licensed. Day Care, for licensing purposes, is defined as "any child care arrangement under which a child less than 13 years of age receives care away from his home by persons other than his parents, grandparents, guardians or full-time custodians on a regular basis for more than 4 hours per day where a payment, fee or grant is made for care", (North Carolina General Statutes Section 110, Article 7 §110-86, (2) ).

Subject to the previously stated conditions, an arrangement where more than 1, but less than 6 children are in care is considered a "day care plan" and the operator must register with the Office of Child Day Care Licensing indicating location and number of children in care. A day care facility, an arrangement within the above stated conditions, which cares for more than 5 children, must be licensed except: public schools, non-public schools providing grade school instruction to children of school age, summer residential camps, summer day camps and Bible schools normally conducted during vacation periods (North Carolina General Statues Article 7 §110-86 (2) and (3) ).

Any day care ficility may request and receive voluntary licensure through the Office of Child Day Care Licensing.

- Office for Children Prgram Evaluation Standards

For the programs in the 29 western counties which receive Appalachia

Regional Commission (ARC) funding, State level Office for Children staff evaluate the quality of service provided to children. Applicable standards address the quality and appropriations of care delivered rather than attending to those quantifiable measures contained in the Office of Child Day Care Licensing licensure requirements or Division of Social Services certification standards.

- Division of Mental Health Services (DMHS) Program Evaluation Standards

The State Mental Health Services Commission has adopted program standards to be met by any program in North Carolina receiving DMHS grant-in-aid funds. The standards identify administrative and programmatic specifics needed to deliver appropriate developmental day care/day treatment services to mentally retarded children. The program approval function is assigned to regional mental retardation specialists in the four regional offices of the DMHS. Certain mental retardation programs operate less than four hours; however, receipt of DMHS grant-in-aid funds requires that such programs seek state licensure. Mental retardation programs are not required to meet DSS certification standards, unless such programs also receive funds administered by the DSS.

- DSS Approval Standards

The State Social Services Commission has adopted standards which include the Federal Interagency Day Care Requirements (FIDCR). The standards must be met by any child care provider receiving State and/or federal funds administered through the DSS. Such arrangements must meet and maintain these standards in addition to meeting local ordinances and state licensing requirements or program approval by DMHS or the Office for Children. If a provider is not required to be licensed, or does not seek voluntary licensure, then DSS requires appropriate fire, building and sanitation inspections. DSS standards focus on: environment, education, health and nutrition, social services, staffing, parent involvement, and administration.

Two types of facilities are certified by the DSS: family day care homes (5 or fewer children in home of caregiver), and day care centers (usually more than 5 children in a facility designed or adapted for day care and providing a program designed for group care). Technical Assistance, consultation, standards evaluation, recommendations for certification, rate setting for vendor purchase and monitoring of family day care homes or day care centers, are performed by the eight regional DSS Day Care Consultants who are located in the four Regional DSS offices. Final review and approval for certification and rate setting is the responsibility of the DSS central office Day Care Services Unit. Each county Department of Social Services has responsibility for monitoring the appropriateness of certified facilities for county utilization.

The county Departments of Social Services have responsibility for evaluating, approving, and monitoring Individual Child Care Arrangements (ICCA). The ICCA is an arrangement in which the children of one family (or children residing in the same household) are kept in their home by a member or non-member of the household, or outside the home in the residence of the caregiver. Standards for such care are established by the State Social Services Commission and provided to county departments by the central office Day Care Services Unit. Assistance to the county departments in fulfilling this responsibility is provided by the DSS Regional Services Representative located in the four DSS Regional Offices. The regional Day Care Consultants and the Day Care trainers may also be asked to assist counties to understand and utilize this resource. While the Division recommends that any county department providing or purchasing day care for 40 or more children hire a Day Care Coordinator, most counties utilize service workers to approve and monitor ICCA's and to work with certified programs.

Information on the total number of staff allocated by county departments is not available.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

| | Expenditures | Allocations |
|---|---|---|
| | FY 74-75 | FY 75-76 |
| Total Social Services Funds (Titles IV-A/XX) | Unk | $73,000,000 |
| Total Child Care Funds (Titles IV-A/XX) | $9,577,360 | $15,773,369 |
| Percentage of Total Social Services Funds Allocated to Child Care | Unk | 23% |

While the Comprehensive Annual Services Program plan (CASP) for 1975-76 is a 9-month plan, we are assuming that the dollar amounts shown are for the entire fiscal year and have been included as shown in the CASP plan. The child care funds include all projected costs for administration and for provision of services to normal children.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number (1) Sanctioned | Total Child Capacity | Number of Cert. Fac. | Capacity (3) of Cert. Fac. | Expenditures (4) Actual FY 74-75 | Expenditures (4) Anticipated FY 75-76 |
|---|---|---|---|---|---|---|
| Public Centers | 1757 | 70,639 | 39 | 1,421 | NO BREAKOUT AVAILABLE | NO BREAKOUT AVAILABLE |
| Private Centers | | | 276 | 10,052 | | |
| Group Day Care Homes | This category not utilized | | | | | |
| FDCH | 3005 (2) | 15,000 | 91 | 364 - 455 | | |
| Individual Arrangements | Unk | Unk | Unk | N/A | | |
| Totals | 4762 | 85,634 | 406 | 12,364 | $9,577,360 | 11,463,800 |

(1) Includes all licensed, approved or otherwise sanctioned providers.

(2) FDCH's are not licensed but "registered". This is the number of registered FDCH. It is estimated that there are an additional 4000 which are not registered. (It is believed all centers required to be licensed are licensed.)

(3) This reflects the number of slots available in certified facilities. No total is currently available on number of FFP children served annually. For FY 74-75 care was purchased or provided with FFP children for a monthly average number of 5,328 children.

(4) The expenditure figures include costs for purchase or provision of services only. Currently, North Carolina cannot breakout expenditures for administrative costs nor total costs (provision of services plus administrative costs) by all provider types.

## 1-4 INFORMATION SYSTEM

Nature of Records:

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | yes | Individual or Family | local |
| Standardized social service forms | yes | Individual or Family | local |
| Computerized records | no | N/A | N/A |

Extent of Data: North Carolina is currently installing a computer system. The state has just recently implemented a standardized Individual Basic Data File, in compliance with Title XX regulations. Both standardized information and narrative comment are collected in the same structural format. The form is complete for identifiers, goals, demographic, eligibility and fee data. Data on service delivery and service cost for each individual served is reported on separate documents.

Data Aggregation: Client and cost data is collected and maintained only at the local level. The installation of a new computer system in April will allow the state to aggregate the local data. The state is also planning for a computer subsystem to provide data for service planning, budgeting and evaluation.

Service delivery and service cost data is sent to the central office; however, delay in starting the computerized data system has prohibited aggregation.

## 1-5 STATUTES

North Carolina General Statues 143 B-153 (3) e states that "the Social Services Commission shall have the power and duty to establish and adopt standards for the payment of cost of necessary day care for minor children of needy families...". This mandate is in addition to and complements responsibilities deriving from federal Title XX services funding.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

(a) One major problem is the lack of certified programs in some areas where such a need has been identified. The cost of certified programs, the geographics of some areas, and the lack of commitment of funds by county commissioners prohibit or severely restrict the development of centers.

(b) Individual arrangements were reported to be valuable as a vehicle for child day care delivery in rural areas where few day care facilities exist and for individuals for whom group care was not available or was inappropriate.

(c) Both state and county personnel cited the state-supervised, county-administered model as a strength allowing counties maximum latitude to develop programs and resources most reflective of local needs and capabilities.

(d) The complex reporting and recording requirements of Title XX, especially identification and tracking of individuals, has created much adverse criticism. While it is anticipated that familiarity with the system and operation of the computer system will resolve some problems, staff time devoted to "record keeping" will continue to be sizable.

(e) One local site visited indicated that the "50% rule" imposed by the State Social Services Commission was creating problems in serving persons eligible for Title XX. The commission has established policy that the 50% rule in North Carolina be modified and based on clients served rather than expenditures.

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Title XX needs assessment was organized by the Planning office within the Division of Social Services and implemented at the county level. It was reported that three statewide Advisory Committees were also involved in the needs assessment.

The basic strategy involved conducting public hearings within each of the 100 counties; (before Title XX, a similar, though more limited needs assessment approach was utilized. Specifically, a series of public meetings had previously been held to establish regional priorities to justify biennial funding requests placed before the state's General Assembly.)

Each county had responsibility for conducting a public hearing. The hearings were open to agency staff, providers, and members of the public, but no special effort was made to recruit specific groups. Once the public hearings were completed, each county prepared a county-wide day care plan which was submitted to the state planning office and prepared an overall Title XX program budget with a Day care line item.

Staffing: State personnel estimated that the hearing method represented an 18 person day effort at the state level and 75 person days at the county level. Additional methods were employed by some of the counties, but no person day estimates were available for those methods. The hearings took place over a period of 3-4 calendar months.

### 2-2 PROCESS

Scope:

| Sources of Information | Extent Utilized | Strategy |
|---|---|---|
| Documentary Sources | Utilized to Some Extent | Provision of vital statistics and other statistical data to local decision-makers for use as background resource. |
| Agency Personnel | Utilized to Some Extent | Included in county level public hearings and statewide advisory committees. |
| Community Agencies | Utilized to Some Extent | |
| Service Providers | Utilized to Some Extent | |
| Consumers | Utilized to Some Extent | |
| General Public | Utilized to Some Extent | |

## 2-3 RESULTS

Specific Numerical Results: The hearing process resulted in what were thought to be unreliable estimates of need, and for the most part, were discarded.

Degree of Integration into the Planning Process: Although specific numerical data was suspect, a number of county departments did find the hearings useful in determining the general direction of their program planning. The state Title XX Advisory Committee, consisting of state and county staff representatives, and United Way planning Board members, had a significant impact on the plan.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

On-Going Planning: Prior to Title XX, on-going planning activities included day-to-day administrative planning, budget planning, and program planning as a part of the DHR Planning Budgeting System (PBS) and Management by Objectives (MBO).

Title XX Planning: Shortly prior to the initiation of Title XX, a Planning office was created within the Division of Social Services. This office had overall responsibility for coordinating the needs assessment as well as for the development of the Title XX plan. Three statewide Advisory Committees utilized in the needs assessment were also involved in Title XX planning.

The Planning Office is responsible for coordination of the MBO and PBS reporting to DHR.

Staffing: The needs assessment and the planning effort combined required 9 calendar months and involved an estimated 420 person days. State personnel said the Title XX planning effort was more extensive and more formalized than previous planning efforts.

### 3-2 PLANNING PROCESS

Each of the 100 counties in North Carolina prepared a county-wide plan subsequent to the public hearings convened for the needs assessment phase. The county plans were then submitted to the state Planning Office. Together with the state Title XX Advisory Committee and with input from the Family Services section, the Planning section sorted and organized the county plans into a single comprehensive Title XX plan.

There was no formal interface between Title XX, WIN, and Title IV-B, but informal input was provided through the Family Services section.

The resulting plan was publicized in newspaper statewide. In response, about 90 letters were received of which a large proportion related to child care. Generally, the letters called for raising the minimum income level in determining eligibility for income eligibles and the provision of services for more children. It was reported that this response was not taken as seriously as the number of letters might have otherwise warranted because it was believed that the letters were unrepresentative. It was felt that many letters were orchestrated as part of an organized response.

## 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types and Numbers | Comparison |
|---|---|---|---|---|
| Total number to be served | yes | yes | 36,411 | unknown |
| Population Categories to be served | yes | yes | AFDC - 11,572<br>SSI - 11,474<br>Income eligibles 13,365 | Income eligibles added |
| Priority Population Categories | no | no | - | - |
| Service Provider Types | no | no | - | - |
| Special Provider attributes (e.g., hrs. of service) | no | no | - | - |
| Geographic Areas | yes | yes | Dollars & number to be served allocated to each of North Carolina's 100 counties | unknown |
| Dollars Allocated for Child Care Service | yes | yes | $15,773,363 | more |

Planned Organizational Changes: The Family Services Section has undergone a reorganization which has been fully implemented.

## 3-4 UTILIZATION/IMPLEMENTATION

Under Title XX, the addition of income eligibles has been accomplished and the extension of child care services into counties not previously served has been partially implemented. While the DSS plan under Title IV-A allowed for day care services to former and potential recipients of AFDC, the income range and social criteria for service eligibility were more restrictive (because of Title IV-A federal restrictions) than those allowed under Title XX.

At the state level, it was reported that the emphasis is on assisting counties to develop service programs rather than enforcing sanctions or counties which have not yet implemented all services.

## 4. EVALUATION

### 4-1 ORGANIZATION

As is true in other programs, the absence of a DSS automatic data system is a barrier to Day Care Services program planning, budgeting, and evaluation. To facilitate planning, budgeting, and evaluation, a computer sub-system, which is planned as a component of the state's overall computer system, is anticipated perhaps by the beginning of fiscal year 1978. A DHR evaluation of DSS services is currently underway.

The North Carolina DSS, along with agencies in 7 other southeastern states, participated in the Donner Project, a 3 year demonstration program funded by the W.H. Donner Foundation matched with Title IV-A funds. Involvement in that project has had significant impact on day care training and aided state staff in assessing appropriate organizational methods for service delivery.

The Office of Children within the Department of Human Resources is currently in the second year of a longitudinal study to determine how children in facilities which it funds (i.e., ARC funds) compare with norms established on the McCarthy Scales for children's abilities.

### 4-2 ACTIVITIES AND PROCESS

In an effort to evaluate the Day Care Services program of DSS, the DSS and DHR planning offices are conducting a study of the present day care services delivery system. Through the years many assumptions have been made about day care services in terms of client impact, costs, models and program design. At this point the DSS and DHR are attempting to identify the facets which must be examined about day care services.

The Donner Project was designed to upgrade existing day care programs, provide staff training, and to establish innovative approaches. Two sites in North Carolina were included: Fayetteville and Monroe. Fayetteville assessed five centers receiving direct support from the project (including money to purchase equipment) and four centers without direct support. Monroe attempted to evaluate children in care.

The project being conducted by the Office of Children utilizes the McCarthy Scale for children's abilities as well as a specially designed Child Development Scale used to measure social-emotional and self-help skills. Basically, data is collected each June for children in day care facilities funded by the Office of Children. The data from this study is still under analysis prior to release. In addition, the Office of Children has conducted a telephone survey (including 763 families) of child care utilization and patterns.

## 4-3 RESULTS

Results from the DSS and DHR evaluation are expected to yield valuable information in order to determine how Division goals, values and philosophy can best be translated into policy.

One major result of the Donner Project was the recommendation and subsequent creation of two training facilities at Fayetteville and Monroe for statewide utilization by county staff and providers. The training sites have been funded by state and federal funds since the termination of the Donner Project.

Currently, the data from the project being conducted by the Office of Children is only for limited in-house use and would not seem to have yet had any impact in altering day care services.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

The state DHR has developed "Careline", a Computer Assisted Telephone Answering Service. The system has identified 155,000 services across the state. To date, "Careline" does not list the separate day care facilities across the state; rather, referrals are made to the state Day Care Services Unit, to the Office of Day Care Licensing, or to the appropriate County Department of Social Services.

Both counties visited had information and referral programs for day care. In Jackson County the number of facilities is small and the social worker, who spends 90% of her time on day care related matters, knows through frequent contact with programs when openings are available. In Cumberland County a list of facilities is updated every 6 months.

### 5-2 PROCESS (Cumberland County)

Assembling Information:

| Provider Type | Systematized | Freq. of Updates | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hrs. | Rates | Avail. |
| Centers | yes | 6 months | yes | yes | no | no |
| Homes | yes | 6 months | yes | yes | no | no |
| Individual Arrangement | Varies by County | | | | | |

Disseminating Information: The dissemination of information is basically a county function. Jackson County has a waiting list for most day care services and out-reach is not undertaken. Larger Cumberland County does provide periodic coverage in local media on what services are available through the county Department of Social Services. The county Day Care Coordinator also meets with local groups disseminating information on day care services. Both counties find that most people hear about day care through friends or county service workers.

Assessing Client Need/Referral Follow-up: In smaller Jackson County client needs are assessed by a single social worker. The social worker completes the application process, including follow-up.

In Cumberland County a service worker secures the application and assesses needs. A county Day Care Coordinator makes arrangements for the client to view facilities.

Both counties determine needs on the basis of age, personality, developmental level, hours care is needed, and location. Within the range of choices available, parents are involved as the primary selectors of a day care service.

In both counties there is a follow-up soon after the service is initiated to insure the child is properly enrolled. Both counties expect providers to notify the county office if problems arise. In addition, there is a 6 month contact with the family by social services staff.

## 5-3 RESULTS

No statistics were available statewide, or for the two sites visited.

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

Eligibility policies are developed at the state level by the State Social Services Commission and translated into written guidelines by the Family Services Section of the DSS. Direct implementation, from the securing of applications through the determination of eligibility, takes place at the local level. Technical assistance and interpretations are provided to county departments by DSS Regional office staff.

Eligible Population Categories: (For Day Care services)

- AFDC, Non-WIN
- AFDC, WIN
- SSI (Supplementary Income Program)
- Income Eligible, defined as:
  - Free care for families earning up to 65% ($659/mo.) of the state median income
  - Sliding fees for families earning from 65% to 100% of the state median income
  - Full cost to families earning over 100% of the median income
- Title IV-B (CWS)

Revisions Since the Passage of Title XX: No revisions were specified.

Materials to Ensure Uniform Interpretation: A Social Services Program Manual has been developed and distributed for use by county workers. Fiscal and reporting instructions as well as a numbered letter system for transmission of policy changes, are utilized.

### 6-3 PROCESS AND VOLUME

Applications: Standardized forms, developed by the state, are in use statewide.

Applications are secured by county level social workers who make the eligibility determinations.

No statewide records are maintained on the total number of applications received. The proportion of child care applications, compared with applications for all social services, was estimated at 1/15 and "no more than 1/4" respectively in the two counties visited.

Eligibility Determination & Verification: The eligibility determination is the responsibility of county workers. If the client is a welfare recipient, this fact must be verified. If a client is employed, earnings must be verified to establish that the client meets the income eligibility requirement.

If supportive documentation is available, it was reported that the eligibility determination can be made immediately. Although counties have 30 days to determine eligibility, it was stated that the average time required is about one week.

The client generally does not have a service initiated until eligibility is determined. For clients who are already receiving day care services when they apply, the FFP can be made retroactive to date of application if done within 30 days.

The total number of clients found to be eligible was not specified.

Quality Control: Clients are expected to report changes in status or earnings. Providers are also expected to report if a child is absent more than 5 days in a row. Generally, procedures governing quality control are not specifically established.

Re-Determination of Eligibility: At least every 6 months or when a situation changes. Redocumentation is required at the time of redetermination.

Appeals: Clients have the right to appeal when found ineligible. To date, state personnel cited only one appeal.

## 6-4 PARENT FEES

Fees are charged, on a sliding scale, between 65% and 100% of the state median income.

## 7. LICENSING AND OTHER SANCTIONS

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility:

- Licensure

The licensing function is administered by an Office of Day Care Licensing within the Department of Administration. The state law has provisions for an "A" license which is mandatory for all centers and an "AA" license which is voluntary. The "AA" licensing standards are intended to recognize better physical facilities, more qualified personnel, and higher quality programs then required by the "A" license.

There are 5 Day Care Licensing Analysts within the Office of Day Care Licensing. The Licensing Analysts are responsible for licensing day care centers including both issuance and enforcement. There is also a requirement that day care plans be registered with the Office of Child Day Care Licensing. Family day care homes and ICCA's are classified as Day Care Plans.

The Office of Day Care Licensing has an educational supervisor who is responsible for developing the "AA" licensing program. A pilot program to demonstrate and analyze the impact of the "AA" standards is currently in progress. Due to lack of staff and funds, the pilot project and statewide implementation of "AA" has been severely curtailed.

The licensing analysts must hold an undergraduate degree and have at least 1 year of experience related to children's programs. Various combinations of education and experience are also accepted. On-the-job training consists of in-office review of standards and procedures and field work with an experienced Day Care Analyst.

- Program Approval (DSS)

(a) Certification: Centers and homes which receive Title XX funds must be certified as meeting the Division of Social Services standards, which include FIDCR. These DSS certification standards are separate from licensing standards and are implemented by 8 Regional Day Care Consultants assigned to four regional offices of the Division of Social Services. Although the Regional Consultants are responsible for assessing compliance with DSS standards, final approval for certification is issued by state DSS. The county departments make the final decision concerning utilization of a certified program.

The Regional Day Care Consultants, who are responsible for the on-site work involved in DSS certifications, must have an undergraduate degree, and at least 4 years experience in the child development field. Persons with master's degree education are preferred and the required experience is reduced equivalently for graduate level education.

(b) Approval: Individual Child Care Arrangements (ICCA) must be approved and monitored by county department staff when reimbursement from state and federal funds, including Title XX, are involved, in addition to satisfying appropriate local ordinances and state requirements for registration with the Licensing Office. ICCA standards were developed by the State DSS and approved by the state Social Services Commission. Presently the standards are being reviewed to assure compliance with FIDCR.

While it is recommended that county departments hire Day Care Coordinators or other staff with experience in child development, service workers are usually utilized for on-site work for approval and for monitoring of ICCA's. Regional Day Care Consultants and state trainees work with this staff to improve their understanding of child care.

(c) Other Agency Involvement in Program Approval: As described previously, the Division of Mental Health Services and the Office for Children evaluate and approve programs according to prescribed standards when the respective offices are providing funding. The approval by the Office for Children or by DHMS is not required for reciept of federal and state funds administered by the DSS; however, licensure and certification are required.

## 7-2 STANDARDS

### Standards Development Process:

- Licensing Requirements

Mandatory licensing of day care operations began in 1971. The statute requiring mandatory licensing was enacted by the North Carolina General Assembly after a state-appointed committee visited a number of facilities and convened a series of public meetings. Staff as well as providers were included in the standards development process. A Child Day Care Licensing Commission administers the law and the Office of Day Care Licensing is responsible for implementation.

- DSS Approval

(a) Certification: Centers and homes which receive Title XX funds must meet Division of Social Services Certification Standards as approved by the state Social Services Commission. Because the licensing standards are minimal, the intent of the DSS standards are to provide comprehensive child development programs, as demonstrated by compliance with certification standards for: environment, education, health, nutrition, social services, staffing, parent involvement, and administration. There are measurable differences between the licensing standards and the certification standards in the areas of space requirements, staffing, group size, toileting facilities, and daily activities offered to children.

The North Carolina Institute of Government coordinated the certification standards development process which included representation from day care providers, parents, staff, professionals, health and building inspectors, universities, and experts in the field of day care. Elements of FIDCR were incorporated into the DSS certification standards.

The certification standards for centers and homes were updated in 1973 and 1975, respectively.

(b) Approval: Standards for the approval of individual arrangements were adopted by the state Social Service Commission, written by the state DSS, and are implemented by County DSS. The standards were derived in part from the certification standards for family day care homes and developed in coordination with staff of county departments. The standards address basic safety elements and support the development of a relaxed home environment in which children participate in the normal routines of family life and some specific child development activities. The standards are being reviewed and subsequent revision will involve state DSS program staff, the Regional Day Care Consultants, Day Care trainers, county staff, and input from ICCA providers.

Content of Standards:

- Licensing Standards

Staff-child Ratios

| | Ages | Ratios |
|---|---|---|
| Centers with less than 30 children: | Infants - 13 yrs. | 1:6-10 |
| | Infants - 13 yrs. | 2:11-20 |
| | Infants - 13 yrs. | 3:21-29 |
| Centers with 30 or more children: | 0-2 yrs. | 1:8 |
| | 2-3 yrs. | 1:12 |
| | 3-4 yrs. | 1:15 |
| | 4-5 yrs. | 1:20 |
| | 5 yrs. or older | 1:25 |
| Day Care Plans: (Restricted to 5 or less) | One staff member for all children. | |

The licensing standards for centers also regulate medical care and sanitation, health related activities, location, buildings, fire prevention, space requirements, qualifications for staff, and records.

There are no Licensing standards for the registration of day care plans beyond the staff:child ratio. Both family day care homes and ICCA's are classified as day care plans.

- Certification Standards

Staff:child Ratios

| | Ages | Ratios |
|---|---|---|
| Centers: | Infants - 24 mos. (no more than 8 in a group) | 1:4 |
| | 2 yrs. (no more than 8 in a group) | 1:4 |
| | 3 yrs. (no more than 15 in a group) | 1:5 |
| | 4-5 yrs. (no more than 20 in a group) | 1:7 |
| | 6-14 yrs. (no more than 25 in a group) | 1:10 |
| Family Day Care Homes: | Under 2 years* | 1:3 |
| | 2 years and older* | 1:5 |

*Including provider's own children.

For centers, the certification standards also regulate multiple facets of administration, the physical plant, program (including education, nutrition, and social services), and health. There are separate provisions for infants/toddlers, school-age children, and care of children at night.

For homes, the certification standards regulate administration, the physical environment, program, and health practices.

- Approval Standards

ICCA-restricted to "day care" children who must be related to each other or who reside in the same household. If the number of "day care" children is greater than 5, the ICCA must be licensed by Licensing as a center. To DSS staff's knowledge such a unique situation has never occurred.

Comparison of Standards and FIDCR: The licensing staff-child ratios are much less stringent than FIDCR. The DSS certification staff-child ratios match FIDCR. In addition, the certification standards specify limits on group size. Most of the other FIDCR components are included in the certification standards.

The licensing requirements are designed as minimal requirements. The standards focus primarily on the physical aspects of facilities. Licensing requirements for health and safety which are acceptable to the Office of Day Care Licensing are seen by social services personnel as adequate for the DSS certification. As a result of federal standards however, the Regional Day Care Consultants monitor for compliance with health and safety standards in certified programs and report violations to the appropriate office.

To date, about 18% of the licensed centers have been certified; about 3% of the registered family day care homes have been certified.

## 7-3 SUMMARY OF ACTIVITIES

| Provider Type | Sanction Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total # | # Sanctioned | % Disq. | Planned | Actual |
| Public Centers | Licensed/ Certification | 1757 | 1757 (Licensed)<br>315 (Certified) | Unk | Annual | Annual |
| Private Centers | | | | | | |
| Group Day Care Homes | This Category Not Utilized | | | | | |
| Family Day Care Homes | Registration/ Certification | 7000 | 3005 (Registered)<br>91 (Certified) | Unk | Rev.'d Annually | Rev.'d Annually |
| Individual Arrangements | Approval | Unk | --- | --- | Unk | Unk |

Fees for Licensing/Program Approval

- Licensing

A privilege tax is assessed for each center and is paid to the North Carolina Department of Revenue. The funds do not revert to the Office of Child Day Care Licensing, although the income is compared to the level of expenditures necessary for operation of the Licensing Office.

| Number of Children Licensed | Fee |
|---|---|
| less than 30 | $ 10 |
| 30 - 49 | 60 |
| 50 - 99 | 100 |
| 100 - 149 | 200 |
| 150 - 199 | 300 |
| 200 + | 400 |

- Program Approval

No fees are charged for certification by DSS, or for approval of ICCA's by county departments.

Content of License/Program Approval

- License: The license includes:
  - Name and address of center
  - Date of issue
  - Expiration date
  - Maximum number of children to be served
  - Age range of children
- Certificate: The certificate includes:
  - Name and address of center of home
  - Maximum number of children
  - Date of issue
  - Ages of children

## 7-4 LICENSING/PROGRAM APPROVAL PROCESS

- Licensing (Office of Day Care Licensing)

Areas of Investigation: Areas investigated include physical characteristics of facilities, location, medical and health provisions, fire prevention, sanitation, and staff characteristics.

Extent and Nature of Process: When a center expresses interest in being licensed, a packet of material is sent to the potential provider. The packet contains checklists which must be completed by the provider. The packet also contains inspection forms which the provider must have completed by health, building and fire inspectors. All of this material is then sent back to the Office for Day Care Licensing. Each facility is then visited by a licensing representative before issuance of the license. The entire licensing process can be completed in 2 weeks. It was stated that the completion of the inspections can be a problem, particularly in rural areas.

Conditional Licenses: Provisional licenses can be issued in situations in which the operator fails to conform to all standards relating to health and safety, but which the agency finds is making a reasonable effort to conform and there are no hazards to the children. A provisional license can be issued for a lesser period. Follow-up can be completed by a licensing analyst or by the local inspector who recommended provisional status.

Revocations: Decisions concerning license revocations are made by the State Child Day Care Licensing Commission. The commission meets at least quarterly and is composed of representatives from providers, state officials, and lay persons. The commission hears recommendations from the Office of Child Day Care Licensing. Two licenses were revoked last year; however, numerous others were terminated due to their inability to maintain standards.

- Program Approval (Division of Social Services)

(a) Certification:

Areas of Investigation: Areas of investigation include administration, staff:child ratios, the physical environment, program elements (including education, nutrition, social services), and health.

Extent and Nature of Process: All centers and homes which receive Title XX funds must be certified. On the basis of the application received from the provider, the Regional Consultant may make an initial administrative visit to a facility. This is to explain standards and the nature of the certification process.

The certification is based on direct visits, observations, and evaluations of day care programs and includes references for family day care home and private (for-profit) center operators. It was reported that the certification process required 2-3 visits for completion. The time lapse for completion of a study and the issuance of a certification can range from 1-6 weeks.

Provisional Certification: A provisional certification can be issued to facilities serving FFP eligibles. This is to allow a center or home to come into full compliance with the certification standards. The provisional certification can be issued up to 3 months.

Terminations: Certifications can be terminated for cause. This occurs 1) when a center or home that has been on a provisional status has not reached full compliance with certification standards, 2) when a fully certified center or home has been placed on "jeopardy status" and has been unable to return to full compliance, or 3) when a county department of social services no longer utilizes a facility.

(b) Approval:

Areas of Investigation: ICCA standards cover physical environment, nutrition, social services, health, and minimal child development program aspects.

Extent and Nature of Process: When a parent or county service worker identifies a potential caregiver, the county staff visits the arrangement to explain the service involved and to begin assessment of the ICCA.

Approval is based on direct visits by the service worker and input from the parent and neighbors. Since safety and health aspects are reviewed by the worker, ICCA approval can be accomplished in 1 to 2 days, although the process can take 1 or 2 weeks to complete.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

The Licensing Analysts of the Office of Child Day Care Licensing monitor centers for compliance with licensing standards.

The monitoring of centers for compliance with licensing requirements for health and safety is performed by local sanitarians, firemen and building inspectors. The Licensing Analysts monitor centers on an "as needed" basis, with every center visited upon initial issuance of a license. Attention is focused on centers annually for licensing renewal with every operation being re-inspected by local fire and sanitation personnel.

The Regional Day Care Consultants within the regional offices of the Division of Social Services monitor both (Title XX) centers and homes for compliance with certification standards. It was reported that the Regional Consultants spend about 50% of their time in the certification monitoring effort.

In addition, county workers monitor individual child care arrangements.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

| | | Percent Monitored | | | | |
|---|---|---|---|---|---|---|
| Provider Type | By Whom Monitored | Of all Sanctioned | Of All Serving FFP's | Of All Contracted | Frequency | Av. Time Per Unit |
| Public Centers | Licensing Analysts | As Needed | Unk | Unk | Unk | Unk |
| Private Centers | Regional Day Care Consultants | 18% | 80-90% | Unk | Annual | 4-14 hrs. |
| Group Day Care Homes | This Category Not Utilized. | | | | | |
| Family Day Care Homes | Regional Day Care Consultants | 3% | 80-90% | Unk | Annual | 4-10 hrs. |
| Individual Arrangements | County Workers | Unk | Unk | Unk | Every 6 Months | Unk |

## 8-3 PROCESS

Monitoring for Compliance with Licensing Requirements: The Day Care Licensing Analysts monitor centers for compliance with licensing standards. Because of large caseloads, however, it was stated that monitoring is conducted "as needed". The primary emphasis is on monitoring through the annual license renewal. Monitoring for compliance with health and safety regulations is performed as needed, or at least annually, by local inspectors.

For licensing renewal the provider again submits checklists mailed by the Office of Day Care Licensing, and the responses are examined with an eye to identifying problems.

Apart from the license renewal, monitoring is conducted in response to community complaints. It was reported that the physical and safety aspects of a center are the primary problems.

Phone calls and scheduled and surprise visits are the main mechanisms for conducting the monitoring.

Monitoring For Compliance With Certification Standards: The Regional Consultants monitor both homes and centers for compliance with DSS certification standards. Scheduled visits are the dominant form of monitoring, but surprise visits, phone calls, and mailings are also included. It was estimated that 80-90% of the facilities were monitored annually.

The primary emphasis in certification monitoring is on the quality of day care, the level of programming, and staffing. It is assumed that the physical facilities are monitored by the Day Care Licensing Analysts and local inspectors. If in the course of a visit, the Consultant sees health or safety hazards, such is reported to Licensing. ICCA's are monitored by county department staff on a monthly basis, with re-evaluation every six months.

## 8-4 RESULTS

State personnel reported that no sizable proportion of providers are out of compliance. It was estimated that the Regional Day Care Consultants find 10-15% of the facilities out of compliance, primarily concerning staff-child ratios. They also have encountered poorly-trained staff in some facilities.

Generally, a target date is set for the correction of identified problems,and training and technical assistance can be arranged when appropriate.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State:

- Day Care Training: Two state day care training sites were origninally developed as a part of the central office of the Day Care Services Unit. The unit used funding available from the W.H. Donner foundation to match with federal Title IV-A dollars to establish two training sites, one in urban Cumberland County (Fayetteville) and one in rural Union County (Monroe). The total Donner project was designed to demonstrate the development of comprehensive services in an urban and a rural setting, and the training sites were developed as a crucial step in the development of a comprehensive system. At the end of the three-year project, the North Carolina General Assembly approved the provision of the state's matching requirement to continue state and federal funding of the training sites. As a part of DHR reorganization, staff of the Day Care Training Unit were transferred to Staff Development which was moved to DHR centralized services. With the advent of Title XX, and the separation of training and services funding, responsibility for developing and monitoring day care training contracts was transferred to Staff Development. Unlike other Staff Development Training Associates who are assigned to DSS Regional Offices, the state Day Care Training Associates report directly to the DSS Central Office of Staff Development. As an outgrowth of day care training development through DSS funding, seven universities, along with DSS and OFC staff, have developed a training resource exchange capacity, which is being funded through Title XX. The concept of the exchange, referred to as the "Training Consortium", is to coordinate existing resources and to develop systematically day care training statewide for all child day care providers. The "Consortium" consists of representatives from the seven universities with Title XX training contracts, Day Care Training and Services staff and is concerned at this time with coordination of Title XX training. It is anticipated that, in the next year, the "Consortium" will work with community colleges, DMHS, OFC, Headstart training, Agricultural Extension, Department of Public Instruction, and others to identify and coordinate existing training resources statewide. This will include an effort to identify unmet needs for training (a step necessary to initiate a request for a state appropriation to meet unmet needs for day care training).

Training currently being funded by the DSS is designed to aid state division and local county personnel as well as providers of child care who participate in funding administered through the Division.

- Technical Assistance: The responsibility for technical assistance to providers rests with the Regional Day Care Consultants, who can utilize state and contracted training staff, as well as other community resources, to carry out this function.

Local: Although it varies by county, training and technical assistance is available from county SAU workers, regular social workers, and service workers assigned to day care. The SAU workers and regular social workers focus on individual arrangements while the latter focus on family day care homes.

Staff Background: The Training Associates were hired on the basis of both education and experience. The requirement for the Regional Day Care Consultants is an undergraduate degree, with a master's degree preferred, and experience in the child development field.

## 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| State Staff | Staff Development Section | Training in Day Care Administration | Unk |
| State Staff | Region | Consultation | Unk |
| County Staff | Staff Development Section | Seminars & Lectures, & Direct Consultation on Child Development & Administration | Unk |

Provider Training

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Providers | 2 State Training Sites | Workshops, Field Demonstrations, & Consultations | 3100 participants |
| Providers | Regional Day Care Consultants | Site Visits, Seminars, & Lectures & Direct Consultation on Child Development & Administration | Unk |

## 9-3 PROCESS

The emphasis in North Carolina is on providing training and technical assistance to provider staffs. The methods for identifying provider needs are based on requests from providers themselves as well as identification through county staffs and the Regional Day Care Consultants. Providers and county staffs were identified as the two groups with the greatest need for training and technical assistance.

Training and technical assistance is provided through site visits, seminars, lectures, field demonstrations, and direct consultation. Frequently, these services are provided within the overall context of the monitoring effort. Generally, the training and technical assistance effort emphasizes child development (understanding the child and how to deal with group situations) and administrative methods.

## 9-4 RESULTS

The effectiveness of the training and technical assistance effort was described as "good" given the number of staff involved and the workload. Follow-up consists of visits to facilities to observe the impact of training and technical assistance. It was stated that the training and technical assistance effort has been most successful with short term immediate problems (e.g., how to resolve problems on this year's budget). Longer range problems (e.g., general procedures for budget preparation) have been more difficult to deal with.

## 9-5 MATERIALS

None specified.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Structure:

State: The day care fiscal function is performed by a Social Services Accounting Unit within the Fiscal Management subdivision of the Division of Social Services. Basically, the unit reviews and approves budgets for the counties and contracted services, reimburses counties for day care costs, and together with input from the program sections, formulates fiscal policy.

Local: The county offices of the Department of Social Services are responsible for the preparation of county day care budgets and for the preparation of day care invoices to be submitted to the state for reimbursement.

Function: In effect, fiscal policy and procedures are formulated at the state level with the local level implementing the policies, preparing county budgets, and day care invoices. It was stated at both the state and county levels that the reimbursement aspect of the fiscal function consumed the most time.

At the state level, fiscal and program personnel are separate but program staff provide input, particularly in the state budget. The fiscal staff delineate procedures and policies, review the county budgets, and reimburse for county costs.

### 10-2 FISCAL MATERIALS

The full complement of required fiscal materials (except Audit Report Forms) have been developed by the Social Services Accounting Unit and the Family Services Section.

Materials on policies and regulations, as well as explanatory guides and provider billing forms were all rated excellent, although it was stated that some contact with counties is provided to insure they are understood. Other forms were rated fair to good.

Instructions for and the regulation of the rate setting mechanism for Direct Vendor Purchase (DVP) programs is the responsibility of the Day Care Services Unit within the Family Services Section, with input from Fiscal Management.

## 10-3 INCOME SOURCES

| Source | Amount/ Percent FY 74-75 | Amount/ Percent FY 75-76 |
|---|---|---|
| Title XX/IV-A | $9,577,360<br>(89.6%) | $15,773,363<br>(99%) |
| WIN | 690,004<br>(6.9%) | |
| CWS | 349,401<br>(3.5%) | 186,000<br>(1%) |
| Unmatched State Funds | --- | --- |
| Other | --- | --- |
| Total | $9,995,765<br>(100%) | $15,959,363<br>(100%) |

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | FY 74-75 * Expenditures |
|---|---|
| Purchase of Service<br>Contracted Facilities | $7,064,919 |
| Direct Vendor Purchase Facilities | |
| Direct Provision/Operation | $2,430,900 |
| Client Purchase, With Social Service Funds | None |
| TOTAL | $9,495,819 |

* The expenditure figures include costs for provision of services only. Currently, North Carolina cannot breakout total costs (provision of services plus administrative costs).

## Description of Funding Methods/Processes:

### A. Purchase of Service:

In North Carolina, day care may be purchased through contracted services or through direct vendor purchase. While the differences are many and complex, the major characteristics of each are:

1. Contracted Services:
   a. The service provider must secure the entire non-federal share for service cost.

   b. A proposal, narrative, and budget must be prepared and submitted as prescribed in the instructions transmitted by the Contracted Services Branch. Local contracts are reveiwed, approved and monitored by county departments and DSS regional offices. Statewide contracts are reviewed, approved, and monitored by the State DSS Contract Services staff within the Family Services section. The Management Team of DSS approves local and statewide contracts. All statewide contracts must also be approved by the State Social Services Commission.

   c. Invoices for payment are submitted by the provider through the appropriate channels for each type of contract. Reimbursement of the federal share for local contracts goes to the appropriate county and then to the provider. Reimbursement of the federal share on statewide contracts goes directly to the provider. All but two day care service contracts are for cost of operation within approved budgets.

2. Direct Vendor Purchase (DVP)
   a. The matching required for federal funds is shared by the county department and the State DSS. The county can purchase services from any certified facility approved to participate in the DVP or purchase from an ICCA.

   b. The State Social Services Commission adopted maximum rates for services purchased under DVP. The county payment for which State and federal reimbursement is requested cannot exceed those amounts.

   c. To participate in the DVP, a non-profit program (centers and homes) can be paid it's allowable cost for each eligible child, up to the State maximums. The actual rate is reviewed by the Regional Day Care Consultant and approved by the Day Care Services Unit.

   d. For profit programs (centers and homes) can be paid the fee charged clientele, up to the State maximum. The rate is approved in the same manner as for non-profit programs.

e. Rates for ICCA's are established by the county department in accordance with State maximums.

f. The actual provider of day care under DVP is not involved in the matching process for federal funds, usually serves a well-mixed socio-economic population and is usually a private non-profit community sponsored organization.

B. Direct Provision: No directly provided services occur at the state level. Across the state, however, there are 39 county-operated facilities, with procedures varying by county. Generally, the counties submit reimbursement information on a line item basis. There are no advance payments. Reimbursement is based on actual expenditures for eligible individuals with approved budget, which is the same policy followed with contracted services.

C. Client Purchase: None

10-5 RATE ESTABLISHMENT (For direct Vendor Purchase)

Unit of Measurement: Per Child

| Provider Type | Basis | Average | Range |
|---|---|---|---|
| Public Centers | Based on actual costs up to state maximum - $150 children under 3 $135 children over 3 | $110/mo. | $90 to $150/mo. |
| Private Centers | | | |
| Family Day Care | Maximum - $100/month Based on actual costs up to state maximum | $90 to $95/mo. | $80 to $100/mo. |
| Group Day Care Homes | This category not utilized. | | |
| Individual Arrangements | Negotiated by county staffs, providers, and parents up to state maximum | Up to state maximum | |

10-6 IN-HOME CARE

Rates for individual arrangements are negotiated between the parent, county staff, and provider up to state maximum. Maximum rates are:

$50 for 1st child in his/her home by household member/$25 for each succeeding child
$70 for 1st child in his/her home by non-household resident/$25 for each succeeding child
$60 for each child in home of caregiver

## 10-7 INCOME ELIGIBLES

Persons with earnings up to 100% of the state's median income are eligible. Persons with incomes up to 65% of the median are eligible for free services. Sliding fees are paid by persons in the 65% to 100% range.

## 10-8 DONATIONS

Donated funds have been received from United Way, private foundations, churches, and community development funds. The money is utilized for non-federal matching funds.

## 1. OVERVIEW

### 1-1 ORGANIZATION

Administrative Model: State supervised, county administered.

Description of Administrative Structure: The Social Services Board of North Dakota, a separate (freestanding) agency, is designated to administer/supervise the state's social services. This Board is divided into three major programs - Vocational Rehabilitation, Economic Assistance, and Community Services.

The Community Services Division of the Social Services Board coordinates Title XX services with other federal, state, and local programs operating in the state. Thus, it has linkage with the Economic Assistance Division which supervises AFDC & WIN programs.

Child Welfare Services, a sub-division of Community Services, has the responsibility to administer Title IV-B.

The Day Care Services unit is under Child Welfare Services' jurisdiction and supervises the delivery of day care services in each of the counties. The state day care supervisor, the only full time administrative person assigned specifically to day care services in the state, is responsible for overall program management, the development of regulatory material, and day care input into the social service budget request.

The Community Services Division delivers social services through eight state area social service centers/human service centers and through county social service boards located in each of the state's 53 counties. A key function of area offices is to link state day care to county agencies. These area offices work in the counties and have supervisory responsibilities.

The state has the authority to license centers but delegates the inspection responsibility to the counties. The County Social Service Boards conduct the licensure/registration studies for all day care facilities within their jurisdiction. Day Care Centers must be licensed; family and group day care homes follow a newly innovated registration procedure. The actual license or certificate of registration is issued at the Area Social Service Center (or Human Service Center, depending on locale) upon recommendation from the county social service workers.

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The North Dakota site visit was conducted in November, 1975. Interviews were held with two state staff and with eight of the county level personnel in Fargo and Bismarck.

The County Social Service Boards are the major social service providers under the auspices of Title XX. They are responsible for monitoring information and referral, and client eligibility determinations, although in some regions this responsibility is shared with the Area offices.

Fiscal personnel in North Dakota are entirely separate in function from program personnel, and authority is vested at the state level. Fiscal management is performed by the Management Services Division, housed within the state Social Service Board. This Division is responsible for all fiscal functions, including day care, as well as for research and statistics. Fiscal functions include preparation of budget reports for federal projects, allocations and reimbursements, development of various fiscal accounting forms, and coordination with program personnel on the fiscal approval process.

The management of the state information system, which is currently undergoing computerization, is the responsibility of the Planning and Evaluation Division.

At the county level, fiscal managers have bookkeeping, data collection, and auditing functions for all social services; this material is forwarded to the state level Management Services Division.

1-2 RESOURCES ALLOCATED TO CHILD CARE

| | Allocation of Funds* | |
|---|---|---|
| | FY 74-75 | FY 75-76 |
| Total Social Services Allocation (Title IV-A/XX) | 5,813,452 | 10,000,000 |
| Total Child Care Allocation | 127,468 | 267,172** |
| Percentage of Total Social Services Funds Allocated to Child Care | 2.2% | 2.7% |

*State Title XX Plan expenditures and Estimated expenditures (12-month projection); it does not include administrative costs.

**These Title XX funds do not reflect the true child care expenditures in the state ($685,000 is estimated to be expended in FY 75-76).

A substantial amount of child day care costs are paid through the income maintenance budget.

The proportion of total social service staff time allocated to child care is estimated to be 5%. The state Day Care Supervisor is the only FTE assigned to child day care in the state.

The area offices each have 1/2 to 1/5 FTE for day care. The level of effort at county offices was not available.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Providers | Number FFP Children | Actual Expenditures FY 74-75 | Anticipated Expenditures FY 75-76 |
|---|---|---|---|---|
| Public Centers | 1 | UNK | $25,380 | 26,000 |
| Private Centers | 72 | UNK | $144,175 | 171,000 |
| Group Day Care Homes | 12 | UNK | 10,817 | Included with centers since FY'76 |
| Family Day Care Homes | 670 | UNK | 252,217 | 277,000 |
| In-home Care | N/A | UNK | 127,839 | 140,000 |
| Other: Care in Relatives Homes | N/A | UNK | 64,898 | 71,000 |
| TOTAL | 755 + in-home and relative's home | 515* | 625,326** | 685,000*** |

*State Title XX Plan projected population for FY 75-76.

**Includes Income Maintenance, WIN, and CWS funds in the form of a round figure submitted by state staff.

***Includes Income Maintenance funds used for child day care, but does not include WIN and CWS child care funds. The figure given is an approximation and has been rounded off.

## 1-4 INFORMATION SYSTEM

Nature of Records: County and area offices maintain narrative and standardized social service records; the nature of these records varies from county to county. The state Management Information System (MIS), computerized and under the aegis of Planning and Evaluation, is expected to be operational by July 1, 1976 state-wide. When the MIS is optimally functioning, all records will be complete, highly accessible at the state level, and capable of generating reports on all social service programs.

Data Aggregation: Data on services is compiled monthly by service type, and cost by program and eligibility category by the individual counties. Counties generate monthly reports on economic assistance and social service programs, including child day care costs by program. State fiscal records are not annually aggregated, but done quarterly to meet federal reporting requirements. When MIS is operational an annual aggregate is planned.

## 1-5 STATUTES

North Dakota Century Code, chapter 50-11.1 covers licensing/registration standards and procedures for approval and payment to day care facilities.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

Problems: The respondents noted that the lack of day care services to non-AFDC/WIN participants was a major weakness in the state social services delivery system. Also, of the 53 counties in the state, seven have refused to offer Title XX services, and only six of the remaining 46 counties have offered Title XX-funded day care in the first quarter of the program year. This was attributed to a lack of non-federal dollars with which to purchase such care.

Strengths: The provider registration system of North Dakota was considered by respondents to be a major strength. It increased child day care services considerably, in a manner not complex to providers and entailed less administrative chores for day care social services staff.

According to personnel interviewed, another positive aspect of the state's delivery system was the good coordination between fiscal and program elements, a necessity for fulfilling federal reporting requirements.

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: Administrators of each Area Social Service Center/Human Service Center met with members of each of the 53 County Social Service Boards and with representatives from the County Commissioners and County Social Service Advisory Committees (March, 1975).

Level of Effort: Each County Social Service Board was asked to undertake a needs assessment of the service needs of their county. A written document from each county describing the needs and the services desired to meet those needs was compiled by region and submitted to the Social Service Board Central Office (April, 1975).

Tribal Chairmen and Superintendents were requested to contribute information on the unmet service needs of the Indian peoples; statewide agencies and organizations that provide social services were also requested to assess the needs of their clients.

In addition, the Area Social Service Centers/Human Service Centers and County Social Service Boards asked local agencies and organizations for input.

During April, 1975, all of the material obtained from state, county and local agencies and volunteer organizations was compiled by service need and proposed service.

Following publication of the Proposed Title XX Plan public comment was solicited via 8 public meetings throughout the state. Information from these sources was taken into account in developing the final Title XX plan.

## 2-2 PROCESS

Scope: The information for day care covered client needs and was part of a general social services needs assessment.

| Sources of Information | Extent Utilized | Strategy |
|---|---|---|
| Documentary Sources | Extensively Utilized | Management Services reviewed in-house and census data |
| Agency Personnel | Extensively Utilized | County agency and Board personnel assessed the needs of their county and submitted it to state Social Service Board |
| Community Agencies | Used to some extent | Community agencies and Tribal Councils were asked to submit needs assessment for their communities |
| Service Providers | Not used | No survey of service providers was conducted |
| Consumers | Not used | Consumers were not sought out as a group to assess their needs |
| General Public | Limited utilization | Open meetings were held during public review period and the general public was invited to contribute |

## 2-3 RESULTS/UTILIZATION

Specific numerical estimates were generated on the basis of prior utilization derived from AFDC/WIN child care recipient data. Numeric estimates were calculated in relation to type of service, geographic area, and service objective.

Degree of Integration into Planning Process: Numerous agencies and organizations were contacted for an assessment of social service needs throughout the state. Six fewer service categories were maintained as a result of these comments. Also the sliding fee scale range originzlly set at 80% to 115% of the state median income was dropped to 40 to 80% of the median. Further, the state plan went from an area format to a county format.

The unpredictable cost factor of Title XX child care and the fact that county budgets were already fixed prior to the implementation of Title XX, accounted for much of the difficulty in integrating Title XX into the existing social services delivery system in North Dakota.

Unmet Needs: According to some state staff, the major unmet need identified primarily for the AFDC/WIN population presently served was child day care for the mentally retarded in the form of group homes, activity centers and half-way houses.

Child day care for families with incomes in excess of 80% of the state median income is not considered by the counties to be a high priority; the prevailing sentiment in the state is that these families can afford private arrangements and it should not be the responsibility of the state to provide the service.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

On-Going Planning: Prior to the passage of Title XX all social services planning was done by the Community Services Division, with input from fiscal staff and Management Services staff. Planning was primarily based on the availability of funding sources, with attention given to the federal regulations governing the expenditure of federal funds. There was no specific child care planning effort; all social services were delivered by the counties on the basis of their own priorities. Day care services provided by counties to AFDC recipients in work-related situations was a higher priority than developmental day care services, which in some counties received no support.

Title XX Planning: The Director of Community Services and three FTE social services staff were primarily responsible for Title XX planning. They received input from all 53 counties and 8 area social service centers and over 25 allied service agencies. This represented a more complete and coordinated planning effort than previously.

### 3-2 PLANNING PROCESS

During the public review period between the publication of the proposed Title XX plan and the publication of the final plan, the state received feedback from some of the populace and there were changes made in the final plan to reflect community opinion. However no changes were implemented in the delivery of day care services on the basis of this feedback. Although Title XX planning was a state-level function, individual counties were given the option of providing the social services; for example, the largest county providing day care services elected not to offer this service to income eligibles.

WIN and Title IV-B planning were interfaced with Title XX/IV-A planning, with emphasis placed on fiscal integration (i.e., best utilization of the different funding sources).

## 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types & Numbers (12 months) | Comparison |
|---|---|---|---|---|
| Total # to be served | Yes | Yes | 515 | more |
| Population Categories to be served | Yes | Yes | AFDC/WIN-398<br>Income Elig-117 | more |
| Priority Population Categories | No | No | | |
| Service Provider Types | No | No | | |
| Special Provider Attributes (e.g., hours of service | No | No | | |
| Geographic Areas | Yes | Yes | 53 counties | |
| Dollars Allocated for Child Care Services | Yes | Yes | $267,172* | more |

*Title XX Plan (does not include INcome Maintenance funds expended on child day care).

Planned Organizational Changes: Reorganization of the Community Services Division is planned; the state proposes to shift functional areas within the Division to be more responsive to Title XX requirements.

## 3-4 UTILIZATION/IMPLEMENTATION

The major operational change in the social services delivery system will be in the computerized information system being implemented currently. When optimally functioning the state expects to have no difficulty in meeting Title XX reporting requirements.

## 4. EVALUATION

No statewide child day care evaluations have been conducted.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

There is no statewide I & R service. The state refers interested persons to the county office. At the county level social services staff provide information and referrals upon request. The procedures utilized vary by county; at the local site of Fargo, United Way funds an I & R service which includes day care information. Some Area Social Service Centers also provide a limited I & R service.

### 5-2 PROCESS

Assembling Information: This is done at the county level.

| Provider Type | Systematized | Freq.of Updates | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hrs. | Cost | Avail. |
| Centers | Yes | monthly | yes | no | yes | no |
| Homes | yes | monthly | yes | no | yes | no |
| In-home | yes | monthly | yes | yes | yes | no |

Disseminating Information: There is no organized outreach attempt to either agencies or clients and the state has not felt the current volume of inquiries warranted an expansion of I & R services.

Assessing Client Need/Referral and Follow-up: The majority of persons requesting day care services are AFDC/WIN recipients. The county Income Maintenance Worker refers client to a county social services worker where information on providers is disseminated. The client has the responsibility to investigate the facilities and, if one is acceptable, to report back to the social services worker who draws up a service agreement between the client and county social service board. I & R is also imparted by telephone if interested persons call county office.

Unless client requests aid in locating a provider or making arrangements, no follow-up contact occurs.

5-3 RESULTS

Time period: One Month - statewide compilation of county and area office records.

| | |
|---|---|
| Number clients seeking social services referral | 2114* |
| Number clients seeking child care referral | n/a |
| Number actively assisted | n/a |
| Number securing their own services | n/a |
| Number unable to secure services | n/a |

*Of these clients, 1,676 sought I & R from county offices and 438 sought I & R from area offices.

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The state Community Services Division establishes policies and regulations for client eligibility, with input from area and county offices. They have instituted a fee schedule for families whose gross annual income is between 40% and 80% of the state's median income.

Determination of client eligibility is the responsibility of each county social service board.

Level of Effort: In June 1975 the total active social service case load in the state was 6,023 cases. 9% of the total case load was for child day care services. No estimate of the amount of time necessary to process applications for service was available as this varies greatly from county to county.

### 6-2 POLICY PROVISIONS

- AFDC-WIN
- AFDC-nonWIN
- Income Eligibles: Defined as all families whose gross monthly income is 40% or less than the state's median income adjusted for family size (i.e., $492/mo. is 40% level for a family of four). These families are eligible for day care services at no cost.

Families with incomes between 40% and 80% of the state's median income are eligible for day care services on the basis of a sliding fee scale.

There are no state designated population priorities; it is a county level decision, as is the decision to offer Title XX day care services.

Revisions Since the Passage of Title XX: No major changes in eligibility criteria or determinations have resulted from Title XX.

Materials to Ensure Uniform Interpretation: There is an updated day care manual to assist front-line workers with interpretations of state policies, regulations, and Title XX provisions.

### 6-3 PROCESS AND VOLUME

Applications: The Community Services Division recently developed a series of standardized applications for the determination of eligibility based on income. This series is still in draft form but is expected to be implemented in all counties in the near future.

The County Social Services Board case worker is responsible for securing completed application forms and for making the actual determination of eligibility: (Eligibility for AFDC/WIN programs determines eligibility for child day care services in the majority of cases.)

Eligibility Determination: The county office social services worker determines eligibility on the basis of income maintenance and income eligibility information provided by the client.

The time lapse between completion of application and determination of eligibility is estimated to be 1-30 days, varying by county. Most often, once the client has been determined eligible and found an acceptable provider, an agreement is drawn up between the client and county board (i.e., service plan) and day care services may begin. It was noted that, in some counties, services begin immediately after completion of an application.

Quality Control: No further evidence of eligibility is required of the client between the initial determination and redetermination.

Redetermination of Eligibility: Every 6 months the service agreement is renegotiated. Quality control methods are standardized and conducted by the social service center/human service center.

Appeals: One appeal was filed in the state last year.

# 7. LICENSING

## 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: All initial licensure and registration application and investigation procedures are the responsibility of county social service offices; the staff assigned to this task varies by county. A licensing study for a day care center is undertaken by a day care worker at the county level and recommendations are sent to the state-level area social services center/human services center which issues the license on the basis of these recommendations. The recently instituted registration procedure in the state (Oct. 1975) does not require a visit to the family day care home or in-home provider. Instead, the provider completes an affidavit certifying compliance with state standards and this is reviewed by the assigned county level worker. If the application is deemed complete and appropriate, it is forwarded to the state area social service center/human services center and, unless otherwide challenged, a certificate or registration is issued.

Staffing: The background and requirements for social services workers involved in licensing and registration procedures varies widely from county to county. In small rural offices a few staff run the entire social services program, which includes many functions not related to licensure or registration.

## 7-2 STANDARDS

Standards Development Process: The state Day Care Supervisor wrote both the licensing and registration standards with input from area offices, county offices, providers and other child care professionals in the state. (Registration standards were written in 1975; center standards were being revised at the time of the site visit. They were last updated in 1971). Since the site visit, center standards have been revised and incorporated into law.

Registration procedures became effective in July, 1975, and were instituted because licensure of family day care and in-home providers was ineffective and inefficient. It was also noted that prior to registration, many homes operated without state knowledge and with little understanding of child development principles. The state hoped to surface these providers through a simple process of registration and supply them with educational materials for higher quality day care provision.

Staff:Child Ratios (State Standards)

Centers: (Must have special approval to care for children under 3 years old). Usually serves children 6 to 7 years of age or younger, but can serve older children.

| Ages | Ratios |
|---|---|
| 0 - 6 wks | 1:1 |
| 6 wks - 3 yrs | 1:4 |
| 3-4 | 1:6 |
| 5 | 1:10 |
| 6-10 | 1:15 |
| 10-14 | 1:20 |

Group Day Care Homes: Not identified as a provider [illegible]pe in North Dakota as of FY '76.

Family Day Care Homes: Age Range: Infancy - 14 years
Minimum-Maximum: From infancy - 6 yrs.
No more than 2 children under 2 yrs.
No more than 5 in total including own children, unless an assistant is available. If an assistant is available, no more than 12 children including the provider's own.

| Ages | Ratios |
|---|---|
| Infancy - 6 | 1:5 |
| 3 - 14 | 1:6 |

Comparison of Licensing Standards with FIDCR: All providers who serve FFP children must meet FIDCR standards and this compliance is written onto the day care center license. Other day care centers need not comply with FIDCR, but must meet state licensing standards. The state staff/child ratios for family day care homes are in the same proportion as those contained in the FIDCR.

The state standards do not reflect the required parent involvement in FIDCR; centers serving FFP children have a Parent Advisory Council to fulfill this requirement. State standards were rewritten to provide uniformity of fire and health standards, and to more clearly specify standards in other areas.

Respondents estimated that approximately 80% of the licensed centers are currently complying with FIDCR. All centers utilizing FFP comply with FIDCR. It was indicated that many potential providers have withdrawn because they could not meet FIDCR standards.

Family and group day care homes must sign a legal affidavit that they are in compliance with state standards.

## 7-3 SUMMARY OF LICENSING ACTIVITIES

| Service Type(FY'75) | License/Appr. Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Tot.N | % L'cnsed | % Disq. | Planned | Actual |
| Public Centers | License | 1 | 100% | UNK | Annual | Annual |
| Private Centers | License | 72 | 100% | UNK | Annual | Annual |
| Group Day Care Homes | Registration | 12 | 100% | UNK | Annual | Annual |
| Family Day Care Homes | Registration | 670 | UNK | UNK | Annual | Annual |
| In-home | Registration | n/a | UNK | UNK | Annual | Annual |

Fees for Licenses: None

Content of License: Day care center licenses include:

- Name and address of center
- Maximum number of children to be served
- Age range
- Expiration Date
- Name of supervising representative of the Social Service Board of North Dakota
- FIDCR compliance or non-compliance

Registration Certificate for Supplemental Parental Child Care (family and group day care homes) includes:

- Name of provider
- Period for which valid
- Certificate identification number
- Date of Issuance

The In-Home Child Care Registration Certificate includes:

- Name and address of provider
- Maximum number of children to be served
- Age range
- Certificate, identification number
- Period for which valid
- Date of issuance
- Supervising representative of the Social Service Board of North Dakota

## 7-4 LICENSING PROCESS

Areas of Investigation: It is the responsibility of each county to conduct licensing studies of each day care center requesting licensure. There is a structured format for licensing studies which is still in draft form. It is hoped that this will be utilized to ensure uniformity throughout the state in the near future. Currently each county conducts their own study and the following areas are covered:

- Physical characteristics of the facility
- Staff characteristics
- The educational, nutritional and health components
- Specific verification that children have had medical clearance
- The extent of parent involvement

Family and group day care homes and in-home providers are urged to participate in the registration process. No formal pre-registration study is required; however, monitoring of these facilities is intended to cover the areas investigated in the licensing process.

Extent and Nature of Process: The county day care worker visits the day care center, as do the fire and health departments. There are approximately 70 day care workers throughout the state, and they had the responsibility for licensing studies in the 73 day centers currently licensed. It generally takes 3 visits by the worker to complete a study, though more time is necessary when there are many deficiencies to be corrected. Recommendations by the worker are sent to the nearest state area social service center/human service center where licenses are actually issued. Although centers must have a license by law before serving children, it was noted that often they begin service before issuance. No FFP is available until licensure is completed.

Once a family or group day care or in-home provider presents an affidavit attesting to compliance with state standards, the county worker forwards this to the area office for issuance of a certificate of registration.

Conditional Licenses: None are issued. The proportion of potential providers who do not qualify for licenses is unknown. Waivers are issued in lieu of conditional licenses. Such waivers are granted if equal but different standards of care are maintained.

Revocations: One license was revoked last year; an attempt was made to revoke one other license but the licensee won on appeal. Two registrations have been denied in the past year.

# 8. MONITORING

## 8-1 ORGANIZATION AND LEVEL OF EFFORT

Program monitoring is a function primarily performed by the area office staff, which represent the state, and by the county social service workers who integrate this responsibility into their licensing activities. Fiscal monitoring is done from the central office of the State Social Service Board.

Level of Effort: As was noted in relation to licensing activities, the number of persons and time allocated to monitoring functions varies from county to county. There is no structured approach to the program monitoring effort and it has been very minimal to date.

## 8-2 SUMMARY OF MONITORING ACTIVITIES

All 53 county fiscal units are desk audited on a monthly basis as part of the fiscal monitoring effort of the state. Day care centers and homes are monitored on an "as needed" basis by the area or county office staff and visited only in cases of complaint.

| Provider Type | By whom monitored | % Monitored | Frequency | Av. Time Per Unit |
|---|---|---|---|---|
| centers and homes | area office and county office | 2% | "as needed" | 1/2-1 hr. |
| in-home providers | area and county office | 5% | "as needed" | 1/2-1 hr. |

## 8-3 PROCESS

Scheduled and surprise site visits are only conducted in situations having revocation potential. County level respondents interviewed indicated no monitoring activity in their county.

A monitoring instrument, developed 6 months ago with the new licensing study format, will be instituted in the near future. Presently FIDCR and the State Child Care Manual (i.e., state standards) serve as guides for the limited monitoring undertaken. State policies are currently undergoing revision and will include monitoring guidelines for registered homes.

## 8-4 RESULTS

State staff reported that it was not possible at present to estimate the number of providers out of compliance with standards. Every provider found out of compliance is informed of the areas of non-compliance, the target date for corrections, and the follow-up date of site visit.

Technical assistance, imparted by county workers, is given to providers out of compliance.

State respondents indicated that previous monitoring efforts led to more specificity in standards and to the awareness that more systematic monitoring is necessary.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: There is no line item for state child day care training or technical assistance in the state budget. The Community Services Division, in general, has responsibility for this function.

Local: At the county level, workers provide training and technical assistance to providers upon request.

Staff Background: Outside speakers from educational institutions such as North Dakota State University and Moorehead State University, in addition to central office staff, are periodically invited to lecture to agency staff and providers on areas in which they have expertise (i.e., child development, health, nutrition, crafts, fire and safety regulations, etc.)

County level social services workers conduct workshops and lectures for providers; however, their backgrounds vary greatly from county to county.

### 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amt. |
|---|---|---|---|
| Area & County Offices Staff | State Community Services Staff | Statewide workshop on regulatory administration involving all county and ASS/HSC day care staff. | 3½ days |

Provider Training and Assistance

| To Whom | By Whom | Description | Amt. |
|---|---|---|---|
| All providers | State & County level Staff | Workshops, lectures, demonstrations, in areas of child development, nutrition, health, fire and safety, crafts, etc. | periodically |
| | | State also publishes a child care newsletter for providers and staff and a parent handbook and provider handbook on child care | 4x/yr. |

## 9-3 PROCESS

The methods used to identify training and technical assistance needs include:

- Area office inquiries to providers about their needs
- Monitoring visits by county staff to providers
- State and county staff requests
- Personal assessment of the state day care supervisor.

## 9-4 RESULTS

A survey of providers indicated satisfaction with the training and technical assistance offered, however, 80% wanted more training. Some agency staff also expressed the need for more training.

One county level respondent was of the opinion that licensing workers have the greatest need for training and technical assistance and that public education about child care needs and services deserved more emphasis. Parent involvement and child development were cited as the areas in which providers need most training and technical assistance.

It was suggested that an annual statewide meeting for all child care workers would produce more effective training and technical assistance.

# 10. FISCAL MANAGEMENT

## 10-1 ORGANIZATION

Structure:

State - The State's Management Services Division, which includes both the Fiscal Unit and the Research and Statistics Unit, perform all fiscal functions. There is no separate fiscal unit for child care.

Local - Fiscal responsibility at the local level is vested in the County Social Services Board. Staff involved in fiscal management at the county level have responsibility for all social services. The number of fiscal staff varies by county and could not be estimated statewide.

Function: Fiscal functions at the state level include preparation of budget reports for federal projects, allocations, reimbursements, development of fiscal accounting forms and coordination with program personnel on the fiscal approval process.

County fiscal managers have bookkeeping, auditing, and data collection responsibilities; they forward these records to the state fiscal staff.

## 10-2 FISCAL MATERIALS

All fiscal materials are available and regularly used. They were developed primarily by the Day Care Supervisor and the Research Analyst from the Research and Statistics Unit of the Management Services Division. Current forms are standardized and completed manually and sent to Management Services. A series of forms has been developed for use when the computerized (MIS) system is operational.

## 10-3 INCOME SOURCES

| Source | % FY 74-75 | % FY 75-76 |
|---|---|---|
| Title XX/IV-A | 127,468 | $ 267,172 |
| WIN | 129,362 | $ 120,000 |
| CWS | 6,197 | $ 4,602 |
| Income Maintenance funds used for child care | 364,842 | $ 395,603 |
| TOTAL | 627,869 | $ 787,377 |

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | FY 74-75 Expenditures |
|---|---|
| Purchase of Service (contracted) | 627,869* |
| Vendor Payments | |
| Direct Provision/Operation | 0 |
| Client Purchase, with Social Service Reimbursement | 0 |
| TOTAL | 627,869 |

* Much of the day care in the state is purchased with income maintenance funds. Approval for services comes from the county, is authorized by the area office, and vendor payments are sent to provider from the state level. In FY 74-75, $364,842 was expended on child day care services with income maintenance funds which are included in this figure.

Description of Funding Methods/Processes:

A. Purchase of Service: There are no Purchase of Service contracts in the state at present, with the exception of one contract between the Burleigh County Social Services Board and the Bismarck Early Childhood Education Program (BECEP), operated by Bismarck Public School District #1. Instead, the vendor payment system is utilized for all payment to providers.

B. Direct Provision: Two centers are presently operated, one at Rugby, North Dakota and one in Fargo, North Dakota.

C. Client Purchase: None with social service funds.

## 10-5 RATE ESTABLISHMENT

Unit of Measurement: Per Child Hour

Maximum of .60/hr. set by state, with exception of one contracted program (BECEP - 66¢/hr.)

| Provider Type | Rates | | |
|---|---|---|---|
| | Basis | Average | Range |
| Centers | Set by counties | .50/hr. | .40-.60 |
| Family Day Care Homes | Set by counties | .50/hr. | .40-.60 |

## 10-6 IN-HOME CARE

The minimum usage law has forced the state into limiting in-home child care provision. The state will pay for this only when care is provided by a relative living in the home; or when the cost is equal to or less than foster care or out-of-home care; or when the care is necessitated for health reasons.

## 10-7 INCOME ELIGIBLES AND PARENT FEES

Income Eligibles: Families with gross monthly incomes up to 40% of the state's median income receive free day care services (i.e., up to $492/mo. for a family of four), adjusted for family size.

Families with gross monthly incomes between 40% and 80% of the state's median income are entitled to day care services on the basis of a sliding fee scale (i.e., between $492/mo. and $983/mo. for a family of 4), adjusted for family size.

Parent Fees: Between 40% and 80% of the state's median income, a fee is charged. As family income increases, in 10% increments, the fee charged increases by 10%. The maximum hourly fee to be charged to families for day care services was set at .60.

## 10-8 DONATIONS

In FY 74-75, $11,338.00 was donated, primarily by service clubs. In-kind contributions in the amount of $18,086 came primarily in the form of donated school space.

# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: The Ohio Department of Public Welfare is organized as a "State Supervised-County Administered" system. The State is organized to supervise, support and allocate resources to county units authorized by law to provide services mandated by the Ohio Department of Public Welfare.

Description of Administrative Structure: The Ohio Department of Public Welfare is organized as a separate unit of government under the Governor of the State of Ohio. There is no umbrella agency. The Ohio Department of Public Welfare is basically divided into three offices: (1) The Office of Management Operations, containing all of the quality control and budgetary fiscal management systems; (2) The Office of District Operations, which supervises the five district offices in Canton, Cincinnati, Cleveland, Columbus and Toledo; and (3) the three divisions that constitute the traditional welfare department functions: the Division of Public Assistance, the Division of Social Services and the Division of Medical Assistance. The day care licensing and child management systems are organized within the Division of Social Services, which has four Bureaus: Bureau of Services for Families and Children, Bureau of Employment Services, Bureau of Licensing and Standards, and Bureau of Services for Adults and Supplemental Services.

The District Offices of the Ohio Department of Public Welfare are considered extensions of the State office in the various regions of the State, and serve as funnels for paper and data inputs to the State Office, and as outputs from the State Office for consultation and technical assistance. The licensing and day care program staff under the Bureau of Licensing and Standards, which is responsible for day care licensing, are housed in the various district offices. These staff persons are not, however, considered members of the district staff, but members of the State office, out-stationed in the District Offices.

Fiscal Management is also State supervised-county administered. Specific to day care, the function of the State level staff of the Ohio Department of Public Welfare is to allocate resources by county. The expenditure of funds and the program mix bought by these funds is a county level decision. All contracts for Title XX services are negotiated, administered and monitored at the county level. A record of the contract goes to the State Office for recordkeeping purposes.

Determination of client eligibility is the responsibility of the county offices.

*****

*The Ohio site visit was conducted in March 1976. Interviews were held with State staff members and county staff members in Clark and Franklin counties.*

At the county level each county welfare department and children's services board is organized to administer the funds allocated from the State Office. Children's Services Boards provide social services to families and children under agreement with the Welfare Department of the local county and administer and utilize IV-B funds. In the 46 counties without Children's Services Boards, the Welfare Departments provide all social services.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

| | Expenditures | Allocations |
|---|---|---|
| | FY 75 | FY 76 |
| Total Social Services Funds (Titles IV-A/XX) | 112,133,730[a] | 170,333,233 |
| Total Child Care Funds (Titles IV-A/XX) | 15,293,378[a] | 19,208,000[b] |
| Percentage of Total Social Services Funds Allocated to Child Care | 13.6% | 15% |

[a] Form SRS-NCSS-112 report dated 12-31-74 and 6-30-75.

[b] Includes Special Needs (Developmental) for mentally, physically, emotionally, and socially handicapped children.

Day care for children is considered a high priority in Ohio. Major attention is still given to the four traditional child welfare services: foster care, adoptions, protective services, and services to unwed parents. However, the total dollar expenditures for the three main categories of day care in Ohio (WIN, non-WIN, and Special Needs) are growing and constitute approximately 15% social services expenditures.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Sanctioned Provider | Number FFP Children (Per year) | Actual Expenditures FY 75 | Anticipated Expenditures FY 76 |
|---|---|---|---|---|
| Public Centers | 250 - FIDCR | Not Available | Breakdown by provider type is not available | |
| Private Centers | approved 1666 licensed | | | |
| Group Day Care Homes | | | | |
| Family Day Care Homes | 3000 [a] | 10,000 | | |
| In-Home Care | Not Available | Not Available | | |
| Total | 4666 | -- | 12,477,914 | 25,530,619 [b] |

[a] Estimate, provided by Social Services Office, Columbus.

[b] This figure varies from that in Chart 1-2 because it contains several other elements of Title XX social services besides child day care.

Actual expenditures for FY 75 and anticipated expenditures for FY 76 by provider type is available in the existing system on DPW-PS forms 2404, AA 27, and 101, but are not aggregated. Two man-months would be required to manually tabulate this information from individual forms.

## 1-4 INFORMATION SYSTEM

Nature of Records:

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative Social Service Case Records | YES | FAMILY | LOCAL |
| Standardized Social Service Forms | YES | FAMILY | STATE, LOCAL |
| Computerized Records | YES | FAMILY | STATE |

Extent of Data: Currently undergoing development by the Ohio Department of Public Welfare is a comprehensive Social Services Management Information System. The Client forms for input into this system will include the following information:

- primary recipient/service recipient
- recipient's program relatedness
- service delivery date
- total cost of delivering each service
- service termination date
- goal assignment
- method of service delivery
- specially designated problem areas

The purpose of this system is to:

1) assure the DPW and the Ohio legislature that at least 50% of the Federal share of costs for services are expended for income eligible populations;

2) provide data showing the relationship of dollars available for designated purposes;

3) provide data that enables the county and the State to evaluate feasibility of deleting or adding a specific service.

Data will be incomplete for a period of time as the system is being implemented. Schedules and reports will be designed after the system is in place.

Data Aggregation: Most data is aggregated at the State level only. Since the system is just getting underway, information is not yet as accessible as it will be. After the system has been completely automated, monthly reports will be generated showing (for example) the number of children served and the dollars expended by the county for child care. Plans for computerization are currently being explored. Current reports consist of forms necessary for FIDCR reporting requirements.

## 1-5 STATUTES

The State laws governing child day care in Ohio are covered in Chapter 5104 of the Revised Code, enacted January 1, 1970. Ohio day care licensing laws are unique in that they are organized as a code of laws rather than as enabling legislation, and therefore can not be supplemented by administrative regulations. The various sections of Chapter 5104 contain definitions as well as regulations governing prohibition against the operation of day care centers without a license, process of applications, provisional licenses, inspection and enforcement, building, fire prevention and food service approval, inspections, minimum requirements. Also contained is the authority of the Department of Public Welfare to adopt rules for part-time day care centers, training programs, day care advisory councils, and penalties.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

The following problems/strengths were identified during discussions with State and county agency personnel. It should be noted that these statements, as are the majority of the other information presented in this summary report, are self reports provided by the individuals interviewed. They are not the product of an evaluation or are they judgments made by Unco, Inc. or the regional office.

- Systems Development - A reporting system that will produce information to meet Federal requirements as well as administrative and management needs is being developed. Problems have included input of data for generation of appropriate reports, development of software, and general smoothing of data flow. It is expected that the system will provide adequate data when development is completed.
- FIDCR Approval and Licensing - The recent separation of FIDCR approval and licensing responsibilities into two discrete units has clarified conflicts which previously existed when both requirements were monitored by one staff. However, some duplication of effort exists.
- FIDCR Standards - Federal standards have created additional costs for day care. This increased cost is resulting in the elimination of a desirable economic and ethnic mix in day care centers.

- Family Day Care System - Current Ohio law has no provision for the mandatory licensing of family day care homes which serve less than 5 children. Staff stated that there were many family day care homes in the State which are not subject to regulation. There is concern regarding quality of this care at the county level since it is often preferred to center care by consumers. A considerable amount of county staff time is spent on required approval of family day care homes and training and approval of in-home aides.

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Governor of Ohio appointed the Governor's Council on Social Services and the Ohio Citizens Councils (a statewide organization of the United Funds and voluntary social planning councils) to establish needs for the Title XX plan. State-designed survey instruments were sent to participants throughout the State. The results of the survey, which consisted of 5,000 responses, were separated into needs and priorities and, together with available data, formed the basis for the initial needs assessment process. Input was solicited from the following sources to supplement the assessment:

- Regional discussions with County Commissioners of Public Welfare
- Input from county welfare directors
- Input from representatives of the Children's Service Board
- Interested private citizens
- The information gathered from the above sources included suggestions based on county requirements for the allocation of Title XX funds, priorities for client eligibility determination, and the development of county needs profiles which were constructed in part from 1970 census data.

Staffing: The number of staff or staff time involved in the needs assessment phase is not available.

### 2-2 PROCESS

The estimations that formed the needs assessment for the first year of the Title XX plan were elaborated upon and expanded for the second year. With the initial Title XX plan going into effect October 1, 1975, the second year assessments had to be established by January 15, 1976. This did not allow time for development of a base for needs assessment. It is expected that by the third year of planning under Title XX, firm data will be available. The second year assessment approach was mainly a correction, improvement and enrichment of the first year's projections.

Scope:

| Sources of Information | Extent Utilized | Strategy |
|---|---|---|
| Documentary Sources | 1 | Review of IV-A, IV-B, and other Social Services programs documents. |
| Agency Personnel | 0 | |
| Community Agencies | 2 | Survey instrument and workshops with Commissioners of Welfare, welfare directors, and Childrens Service Boards. |
| Service Providers | 1 | Survey instruments and limited, participation in council discussions. |
| Consumers | 1 | Public solicitations for comments via letters to the Governor's council or submission of response to survey instrument. |
| General Public | 1 | Public meetings for suggestions regarding distribution of funds, etc. |

Key: 0 = not used, 1 = some use, 2 = extensive use.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION AND LEVEL OF EFFORT

Ongoing Planning: There is no department or division of planning at the State level with responsibility for continuous planning. Child care system—and day care planning—takes place within the context of Title XX in the Office of the Director of the Division of Social Services.

Title XX Planning: The Chief of the Division of Social Services, the Director, Ohio Department of Public Welfare, and other division chiefs, (such as Chief of the Division of Public Assistance and Chief, Division of Medical Assistance) are responsible for Title XX planning.

Staffing: No information in available for the amount of staff or calendar time which is dedicated to ongoing planning. However, initial Title XX planning, which extended over a five month period, utilized approximately 30 state staff; although no specific full-time equivalent figures are available, it is estimated that initial Title XX planning took 12 man-months.

### 3-2 PLANNING PROCESS

Title XX planning to date has consisted of needs assessment (identified under that heading earlier in this report). This needs assessment process was the basis for the existing planning efforts. In addition, each county was asked to submit a county plan based on the County Profile Instrument developed by ODPW. These county plans were aggregated to produce the first Title XX Plan, and were the basis for allocating matching State dollars for day care services.

Actual planning or projections of need and allocation of resources based on a combination of actual experience together with extrapolation techniques will probably begin in the third year of the Title XX planning process.

## 3-3 RESULTS

The first Title XX program year extends from October 1, 1975 to June 30, 1975.

| Areas of Quantification | Defined | Quantified | Types and Numbers | Comparison |
|---|---|---|---|---|
| Total Number to be served | yes | yes | 61,058 children | More |
| Population Categories to be served | yes | yes | AFDC -WIN (7709)<br>AFDC non-WIN (45,417)<br>Income Eligible: SSI (7932) | Some added |
| Priority Population Categories | yes | | Mandatory - AFDC -non-WIN AFDC-WIN<br>Optional-Special Needs Protective Services | -- |
| Service provider types | no | no | -- | -- |
| Special provider attributes | no | no | -- | -- |
| Geographic Areas | yes | yes | Dollars allocated to county in accordance with prior expenditures | -- |
| Dollars allocated for child care service | yes | yes | $25,530,619* | |

* Source: Ohio Comprehensive Annual Services Program Plan-Final Plan, p. 51

## 3-4 PLANNED ORGANIZATIONAL CHANGES

None identified or anticipated.

## 3-5 UTILIZATION/IMPLEMENTATION

Increases in child day care expenditures are expected for most of the larger counties. Over 50 of the 88 counties offer no day care center resources from which day care services may be purchased under Title XX. Some of the medium sized counties have not used all the day care funds allotted to them; future revisions of Title XX planning, when operational and providing more accurate feedback, will address the more efficient allocation of resources.

## 4. EVALUATION

No comprehensive child care evaluations have been planned or implemented within the past three years. Under the current administrative structure, District Offices are charged with monitoring and evaluation. The intent is to strengthen the District capability in this area. At the State level, there has been consideration of using a Capacity Building Grant to explore evaluation possibilities.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

Information and Referral Services are provided through the county Departments of Public Welfare. Information for various social services, including child care, is available, either from the department directly, or through private groups with which the department has subcontracted.

### 5-2 PROCESS

Assembling Information:

| Provider Type | Systematized | Freq. of Updates | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hours | Rates | Avail. |
| Centers | Yes | Monthly | x | x | x | x |
| Homes | varies by county | | | | | |
| In-home | varies by county | | | | | |

Disseminating Information: Although mass media are occasionally used, most information is disseminated when the client contacts the agency in person or by telephone and requests assistance. Additionally, assigned caseworkers provide information on an informal basis.

There is no organized outreach.

Assessing Client Need/Referral and Follow-up: No formal follow-up procedures exist; however, there is considerable latitude in implementation of follow-up practices in various counties. Most follow-up consists of a telephone call to the provider as an informal method of determining that the client is actually utilizing the services.

Client need is primarily assessed by county caseworkers during the eligibility determination process. Providers occasionally refer clients to the county welfare department if it is ascertained that other social service needs (in addition to day care) exist.

### 5-3 RESULTS

The number of information and referral requests on a statewide basis is not available.

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

Initial eligibility criteria was established in a joint effort by the Governor's Council on Social Services, the Ohio Department of Public Welfare, citizens input, and other contributors to the statewide Needs Assessment Survey. Clients apply for, have their eligiblity determined, and receive services in their geographic areas through the social services division of their County Welfare Department.

### 6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC - Non-WIN
- AFDC - WIN
- SSI
- Income Eligibles

Child care is free for a family of four earning up to 50% of the State's median income - $7,200 per year ($601/month gross). A sliding fee scale is used for those earning larger percentages of the State's median income. Families earning above 80% of the median income must pay the full cost.

Population priorities have been designated in the following order:

1. AFDC - WIN
2. AFDC - Non-WIN
3. Income eligibles, medicaid recipients, persons in immediate danger needing protective services

Revisions Since the Passage of Title XX: No significant revisions have been made.

Materials to Ensure Uniform Interpretations: Application forms and verification procedures are standardized.

### 6-3 PROCESS AND VOLUME

Applications: Standarized forms are available statewide.

Applications are secured by county-level social workers during personal interviews with the applicants.

Eligibility Determination and Verification: If the client is a welfare recipient and applies through the Social Services Department, eligibility is verified by the county caseworker, who consults AFDC files. County Welfare Departments have also extended the responsibility of certain eligibility determination functions to providers. For example, clients appealing directly to day care centers are referred to the

Welfare Department if they are AFDC eligibles; if they are employed, providers request income verification documentation and preliminarily assess the financial status of the client before referral to the Welfare Department. Employed clients are required to submit satisfactory proof of income, including paycheck stubs and other data, to assess their status, if they apply through the Social Services Department directly; otherwise, the caseworker merely verifies the information furnished by the provider.

If the recipient applies directly through the Welfare Department, determination of eligibility is usually made the same day. Clients who request services through a provider generally wait one to two days for county verification of eligibility.

Quality Control: All clients are requested to report any changes in status or earnings, furnishing appropriate documentation (marriage or birth certificate, paycheck stubs) as verification. No specific quality control procedures have been established.

Redetermination of Eligibility: Eligibility redetermination is conducted every six months, or whenever there is a significant change in status. The same type of forms used to establish initial eligibility are used in the redetermination process.

Appeals: All applicants are assured by the DPW of their right to appeal, up to and including a fair hearing and final decision by the Director of the Department of Public Welfare.

## 6-4 PARENT FEES

For recipients whose income is large enough to make them ineligible for free services, partial payments, based on sliding scales, are required. Sliding fee scales are based upon family size, gross income, and type of social service required (day care, homemaker, mental health, etc.) A chart is consulted to determine the percent of service costs to be paid by the recipient. For example, a family of three earning gross monthly income between $576 and $610 must pay 25% of the service costs. Parent fees are collected by the provider.

## 7. LICENSING AND OTHER SANCTIONS

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: Development and implementation of child care standards is the responsibility of the Bureau of Licensing and Standards, Division of Social Services. The Bureau is divided into four functional work units; 1) Day Care Licensing; 2) Day Care Services; 3) Foster Care Licensing; 4) Interstate Placement. The Day Care Licensing unit administers the Ohio Day Care Licensing Law (O.R.C. Section 5104) for day care centers. The Day Care Services unit has responsibility for developing day care services throughout the public welfare system, for monitoring county agency approval of family day care homes and in-home providers, for providing consultation and technical assistance, for monitoring contracts, and for ensuring provider compliance (both center and home) with Federal Interagency Day Care Requirements (FIDCR).

Staffing: Statewide (outposted in regional offices) there are 18 licensing specialists whose sole responsibility is to license child care centers. FIDCR approval of centers is performed by another 4 individuals statewide, who are part of the Day Care Service unit staff. Licensing specialists have autonomy in ascertaining the suitability of centers to be licensed, and are fully responsible for the authority to issue the license. In cases where revocations or denials are indicated the licensing specialist notifies the State Commissioner of Public Welfare, who refers the case to an Advisory Board for review and recommendations. The Commissioner evaluates the Board's recommendations and takes whatever action he deems appropriate.

Both Day Care Program Development Specialists and Licensing Specialists must have a B.A. in social Work, early childhood, or a related field to conform with minimum educational background requirements. Additional education, through conferences, and special lectures, is encouraged.

### 7-2 STANDARDS

Standards Development Process: Licensing requirements were established by the State Legislature, enacted January 1970. Policy development is accomplished by the Department of Public Welfare with input from providers, parents, and other interested citizens, including teachers and medical professionals, an Advisory Council consisting of 18 members, including the Director of Public Welfare, the Superintendent of Public Instruction, the Director of Health, and the Director of Industrial Relations.

Contents of Standards:

Staff-Child Ratios

| Centers: | |
|---|---|
| Ages | Ratios |
| Under 1-1/2 years | 1:8 |
| 1/1-2/3 years | 1:10 |
| 3-5 years | 1:15 |
| 5 years or older | 1:20 |
| Each center must have a minimum of 2 adults at all times | |
| Group Day Care Homes: | |
| — | |
| Family Day Care Homes: (more than 5) | |
| Ages | Ratios |
| 0 - 6 weeks | 1:1 |
| 6 wks - 18 months | 1:4 |
| 18 months - 3 years | 1:4 |
| 3 years - 14 years | 1:5 |

Additional Components of Standards: (Day Care Centers)

- Facility standards
- Nutritional standards
- Health standards
- Staff education and training standards
- Administrative standards
- No standards for in-home care are available.

Comparison of Standards with FIDCR: FIDCR regulations are supplemental to State requirements, which are generally lower than FIDCR with the following exceptions: standards for licensing (day care centers), physical facility and safety code regulations, and staff health specifications. Each of these areas is equal to FIDCR requirements.

The "approval" process for FIDCR for both day care centers and family day care homes is the responsibility of the Day Care Services unit. This responsibility was recently separated from the Licensing unit and has become an independent process.

It is estimated that between 70 to 80% of day care providers are able to comply with FIDCR regulations; the remainder are experiencing some difficulty in implementing selected areas of the FIDCR, particularly staff/child ratios.

Several State licensing representatives maintained that the staff/child ratio is too high. Their reasons were that 1) with the exception of infants and special needs children, the Federally required number of adult caregivers was counterproductive to real learning experiences and curtailed spontaneity from the child, and 2) the cost for day care services would rise, forcing private-pay parents to withdraw their children from Federally funded centers and/or causing unregulated "underground" centers to be used, or creating a disparity in levels of care between Federally subsidized children and those cared for in non-Federal centers. Another area of disagreement is parent involvement; Ohio considers day care center operators to be entrepreneurs, primarily concerned with an "ongoing concern" philosophy; particularly unfair is the responsibility incurred by providers when in many cases the child's parents are apathetic.

## 7-3 SUMMARY OF ACTIVITIES

| Provider Type | Sanction Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total # | # Sanctioned | % Disq. | Planned | Actual |
| Public Centers | License | | 100% | | Annual | Annual |
| Private Centers | License | 1,666 Licensed | 100% | | Annual | Annual |
| Group Day Care Homes | same as centers | 250 FIDCR Approved | | | Annual | Annual |
| Family Day Care Homes | Approval | 3,000+ | N/A | | Annual | Annual |
| Relative DCH's | | | | | | |
| In-Home | Approval | | | | | |

Fees for Licenses: $50.00 or $100.00 depending upon the size of the child care center. $25.00 for renewal.

Content of License: All licenses contain the following:

- Date of issue
- Period for which valid
- Maximum number of children to be served
- Age range of children
- Category of license limitations

## 7-4 LICENSING PROCESS

Areas of Investigation:

- Physical characteristics of home or structure
- Provisions for nutritional programs
- Verification of child medical clearances
- Provision for handling sick children
- Hours care is available
- Provision of educational services for children
- Staff/administrator qualifications
- Equipment
- Records
- Center policies and procedures

Extent and Nature of Process: All providers giving care to five or more children must be licensed. The length of time required between application for and completion of the licensing process is unknown. The process begins with the potential provider requesting the Department of Public Welfare to provide pre-application consultation and an application for a license. DPW mails the application, with instructions and appropriate regulations, to the provider. The application is completed and returned together with the application fee. On-site inspections are conducted by the State or Local Fire Marshal, the Board of Health, the Municipal or County Building Department, and the Department of Industrial Relations. All phases, including staff, health regulations, facilities, administrative procedures, etc., are investigated. If the inspections show out-of-compliance behavior, technical assistance is provided. If the provider is in compliance, a license is issued. In many cases, due to the pre-application consultation whereby possible out-of-compliance situations are discussed, and since the application is reviewed prior to the inspection process, centers obtain their licenses after approximately a four hour inspection.

Conditional Licenses: Provisional licenses may be granted for a specified period of less than one year to allow a center reasonable time to become eligible for a regular license. Less than six provisional licenses were issued last year.

Revocations: The director of Public Welfare may, upon finding that any person, firm, organization, or corporation licensed under Section 5104.03 of the Revised Code is in violation of any provision of Chapter 5104 of that Code, issue an order revoking the license previously issued by him.

The person whose license is revoked or who is denied a license may appeal. No revocations were noted in the past year.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

The bulk of monitoring activities is performed by the county as contracts are monitored. District offices are also charged with monitoring and evaluation of county functions. Licensing Standards are monitored by the State, during annual renewal inspections, unannounced on-site inspections, and complaint follow-up.

The level of FTE manhours expended in the monitoring process was not specified; however an increased amount of monitoring would require additional staff.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

| Provider Type | By Whom Monitored | Percent Monitored | | | Frequency | Av. Time Per Unit |
|---|---|---|---|---|---|---|
| | | Of All Sanctioned | Of All Serving FFP's | Of All Contracted | | |
| Public Centers | State Day Care Licensing Unit | 100% | 100% | Unknown | Annually | As Needed |
| Private Centers | State Day Care Services Unit<br>County Welfare Dept. | | | | As necessary and in respon to compl<br>Annually | Unknown |
| Group Day Care Homes | - | - | - | - | - | - |
| Family Day Care Homes | County | 100% | 100% | Unknown | Annually | Annually |
| In-Home | | | | | | |

## 8-3 PROCESS

County welfare departments are under obligation to the State agency to monitor and evaluate execution of purchase of service contracts. Most activity has centered around fiscal responsibility, determination of eligibility for services and reasonableness of unit costs. In addition , large counties (such as Franklin County) have a Title XX team which regulates day care in addition to State licensing specialists. The team particularly emphasizes compliance with FIDCR standards. Monitoring is a function of the Title XX process itself; enforcement is assured because the team uses the contract process to implement its rulings. For example, out-of-compliance behavior (such as an unsatisfactory nutrition program) is noted, recommendations are made to the provider and if the provider does not make the necessary corrections within 30 days his purchase of service contract may be terminated.

District Offices use mobile teams to periodically go into county departments to review a selected sample of service plans. The purpose of this review is to ascertain statewide observation of rules governing program implementation.

The State agency monitors licensing standards and ensures that providers receiving FFP meet Federal standards. Contracts are also monitored at the State, in addition to county monitoring.

The Division of Social Services is considering the feasibility of augmenting State and county staff activities in monitoring and evaluation of the service programs.

There are no standardized instruments used to guide the monitoring process. The distinction between licensing and monitoring activities is that the former is usually scheduled and the latter is normally unscheduled and in response to specific concerns or received complaints.

Both the State licensing and day care services staff recognize the need for guidelines in enforcing the FIDCR regulations. The licensing staff believes it has developed a workable method of standardization. Their approach to standardizing the analysis of various problem areas involves numerous orientation sessions where problems are discussed and standardized interpretations are developed by staff interaction. The probation period during which the licensing worker is trained is used to develop this standardized approach to the normal licensing problems encountered during a visit.

## 8-4 RESULTS

Since there is no organized statewide monitoring activity, there are no statistics available concerning the degree of non-compliance.

In some counties the contract compliance process is used as an instrument for monitoring quality of day care provided in the county. Behavior that is considered out of compliance is brought to the attention of the social services director. The provider is notified, in writing, by the social services director that his facility is out of compliance. The letter serves to specify the discrepancies and notify the provider that he has 30 days in which to make the necessary corrections.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The Division of Social Services has developed a comprehensive training packet which it furnishes to day care operators. Other training and technical assistance is provided in a variety of ways; for example, the Licensing Section will hold a meeting this year for day care center operators and members of county welfare departments from all counties in Ohio, concerning the interpretation of FIDCR standards and licensing discussions. During this meeting, counties which maintain that they are having problems or which require special attention will be slated for training and technical assistance counseling.

In addition technical assistance is furnished on an as-needs basis to providers who request it, in the areas of initial licensing requirements or obtaining information to upgrade the status of existing programs. Counties receive technical assistance in rate-setting procedures on an as-needs basis from two State Fiscal Director's Office personnel.

Local: A training packet for Day Care Home providers and aides is used in vocational high schools throughout the state and is the basis for direct training of providers by county Welfare Department personnel. Other training and technical assistance is provided by workshops and on-site instructions as requested.

Staff Background: Varies.

### 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| State Licensing Workers and State Services Workers | Supervisory Staff and Consultants | Familiarization with licensing requirements for new workers and on-going in-service training | Not available |
| Local Workers | State Day Care Service Unit | Consultation, as needed | Not available |
| | Fiscal Director's Office | Rate-setting technical assistance | .6 FTE |

Provider Training and Assistance

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Centers | State Day Care Service Unit | Day care lesson units | Not available |
| Homes | State Day Care Service Unit | Day care lesson units | Not available |
| In-Home Care Providers | | | |

## 9-3 PROCESS

Identification of Need for Training and Technical Assistance: The methods for identifying the needs for training and technical assistance are not standardized in Ohio. The training is offered in response to requests by providers or staff for specific types of training. The unit lesson material organized by the Day Care Services Office is available throughout the State to FIDCR approved centers and where a need is identified by a day care specialist, assistance is offered. The training is focused around identified local problems, with the emphasis on child development activities. Various lesson series are available for specific services by day care staff; for instance, nutrition, medical services, parent participation, child development activities and other areas of the Federal Interagency Requirements. Technical assistance is incidental to the licensing and approval process, and usually is given only in response to a specific need or request.

At the State level the day care licensing specialists are given training using the manual developed by the licensing staff for this purpose. New employees in the licensing unit are given a period of orientation in which to work with an experienced staff member and study the manual to learn the skills of applying the licensing regulations to day care centers.

The State day care services unit uses the Handbook of Federal Interagency Requirements, Interpretations, and Assessment Procedures produced by the FIR Committee, September 1975. This document, nine chapters in length, publishes all the Federal Interagency Requirements and interprets by example their regulations for the State of Ohio. This instrument is used as a training device by the day care specialist staff which evaluates day care centers for Federal financial participation.

Family Day Care Homes are approved by county level staff trained in the use of the document provided by the day care services office. This document, entitled Requirements, Qualifications, and Procedures for Day Care Home Providers and Day Care Aide Providers is an interpretation for Ohio of the FIDCR as they apply to Family Day Care Homes and In-home care.

The training of county day care staff is done by the program development specialist from the day care services office. This office has developed a series of lessons that address all aspects of day care services. Voluntary educational resources through the State Vocational Technical office are usually available throughout the State. The four district staff persons are used as trainors in these courses. The training sessions, one day in duration, are for county employees and utilize the lesson unit packages developed by the State Office.

No FTE staff level figures were available.

## 9-4 RESULTS

Licensing and approval staff from the Ohio Department of Public Welfare were unable to evaluate whether the training and technical assistance needs of the State of Ohio have been adequately met. They did, however, stress that more training and technical assistance is needed for providers, especially in the areas of child development and program enrichment. They also stressed the need for licensing and approval staffs to have continuing training and plan to bring in the best people available to provide it.

## 9-5 PRINTED MATERIALS

These include:

- Handbook of Federal Interagency Requirements, Interpretations, and Assessment Procedures
- Requirements, Qualifications, and Procedures for Day Care Home Providers and Day Care Aide Providers
- Unit Lessons for Providers

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Structure:

State - Fiscal activities for all welfare functions are centered in the Division of Fiscal Affairs, a subsection of the Department of Public Welfare. The Division of Fiscal Affairs consists of four Bureaus, under the overall coordination and supervision of the Chief of the Division: the Bureau of Fiscal Operations, the Bureau of County Support, the Bureau of Fiscal Review, and the Bureau of Estates Administration. All but the latter are related to the fiscal management of Day Care.

The Bureau of Fiscal Operations primarily reviews federal grants, contracts, and agreements for conformity with federal regulations, and, in addition to preparing all expenditure and revenue vouchers for the department, is responsible for receiving day care licensing fees and issuing receipts. The Bureau of County Support distributes, records, and makes adjustments regarding the allocation of payments to the county welfare agencies, and helps to develop forms and supply counseling to county administrators in the preparation of financial statements. The Bureau of Fiscal Review audits the programs and functions of the DPW and its providers, including the monitoring of cost reporting and auditing procedures in cost reimbursement programs to insure compliance with State and Federal regulations.

Local - Fiscal efforts at the county level are similar to those of the State, i.e., a separate division exists within the Welfare Department.

Function: County financial activity consists of budget preparation for providers, Title XX claims processing, including verification and examination of vouchers, check preparation, and claims surveillance (for compliance with Federal and State requirements), and contract negotiation. The county aggregates vendor bills, checks for accuracy, completeness, and appropriateness, and forwards the payment abstracts to the Bureau of Fiscal Review. Providers with more than four children must submit to the county their monthly expenditures (consistent with their annual budgets), and a listing of days operated, number of children served, and rate per day. This information is the responsibility of the county. Upon approval in the Bureau of Fiscal Review, the abstracts are forwarded to the Bureau of Fiscal Operations for preparation of payment vouchers.

### 10-2 FISCAL MATERIALS

Currently the only written materials for fiscal reporting consist of written guidelines which were developed as part of a training session on Title XX reporting requirements.

### 10-3 INCOME SOURCES

| Source | Amount FY 74-75 | Amount FY 75-76 |
|---|---|---|
| Title XX/IV-A | | $23,446,422 |
| WIN | | 2,084,197 |
| CWS | Figures for FY 75 are not available | |
| Unmatched State Funds | | |
| Other | | |
| TOTAL | | $25,536,019 |

Source: FY 76 Ohio CASP

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | Expenditures FY 74-75 | Anticipated Expenditures FY 75-76 |
|---|---|---|
| Purchase of Service Contracted Facilities | Figures not available due to necessity of manually aggregating data. | |
| Vendor-Paid Facilities | | |
| Direct Provision/ Operation | | |
| Client Purchase with Social Service Reimbursement | | |
| TOTAL | | |

Description of Funding Methods/Processes:

A. Purchase of Service: The Ohio Department of Public Welfare maintains standard procedures for negotiating purchase of service agreements with potential service providers which includes proposal preparation and submittal and contract preparation. Proposals submitted to county welfare departments must include four exhibits: 1) service program description, 2) budget, 3) eligibility criteria, and 4) certificate of insurance. Once contracts are negotiated, handling invoices and monitoring is primarily a county responsibility.

Day care center, family day care home and day care aide services may be purchased. (Proposals are not required of the latter two.) Contracts with family day care and day care aide vendors are much less comprehensive. This "vendor agreement" is an abbreviated contract, a simple voucher showing only units served and units of reimbursement. No justifications are required for cost data.

Facilities with more than four children are required to submit actual cost data, on a monthly basis, in summary form by cost category. Contracting is performed and is handled by the Financial Unit of the Department of Public Welfare.

B. Direct Provision: Some exists, but the nature and scope is unknown.

C. Client Purchase: None.

10-5 RATE ESTABLISHMENT

Unit of Measurement: Four children or less (Vendor Agreement): hourly, quarter-day, half-day, full day. More than four children: day (5 hours or more).

| Provider Type | RATES | | |
|---|---|---|---|
| | Basis | Average | Range |
| Centers | Actual cost based upon budget submission and monitoring of past year's cost | $6.04/ day | $3.00 Low<br>10.96 High |
| Family Day Care Homes | Based upon agreed-upon rates established by counties | $5.50/ day* | $ Low<br>High |
| In-home | Based upon agreed-upon rates established by counties | $ / day | $ Low<br>High |

*Rates vary from county to county; $5.50 per day was observed in Franklin and Clark counties.

10-6 IN-HOME CARE

No information has been collected concerning rates established for in-home care, or the basis for the rates.

10-7 INCOME ELIGIBLES AND PARENT FEES

Partial payments are being made for day care. Income eligibility is ascertained as a function of family size and gross monthly income. Upon verification of income status, a sliding fee scale is consulted in order to establish the required payment. Providers collect fees.

10-8 DONATIONS

No third party donations were received.

# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: State-administered

Description of Administrative Structure: The Department of Institutions, Social and Rehabilitative Services (DISRS), also known as the Department of Public Welfare, is the agency designated to administer the state's social service programs. The department is composed of six program and four administrative support divisions. Responsibility for managing the state's child day care program, as well as a dozen or more other social service programs, rests with the Division of Social Services (DSS). Within the division, the Day Care Services Unit has specific responsibility for developing child day care services. In addition, the Oklahoma Child Care Advisory Committee has substantial input into day care standards development through its advisory role to Oklahoma's Commission on Public Welfare.

Fiscal management is the responsiblity of a separate administrative support division. The unit services all DSS social programs including child care. Its functions are non-programmatic and are limited to providing program people with financial statistics, reviewing proposed program expenditures, and developing cost estimates of new or revised services and paying the bills.

Day care licensing is conducted by a special unit within the Division of Social Services; it is responsible for licensing multiple social service facilities including child care.

Generally, in each county there is a social service unit comprised of a social services supervisor and one or more service workers. This unit is responsible to the county administrator and is responsible for service delivery at the local level. In populous counties, these functions may be duplicated two mor more times while in smaller counties one person may be responsible for all functions.

## 1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

| | Expenditures FY 74-75 | Allocations FY 75-76 |
|---|---|---|
| Total Social Service Funds (Titles IV-A/XX) | $38,800,000 | $42,300,000 |
| Total Child Care Funds (Titles IV-A/XX) | $ 7,764,985 | $ 8,380,000 |
| Percentage of Total Social Services Funds Allocated to Child Care | 20% | 19.9% |

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The Oklahoma site visit was conducted in November, 1975. Interviews were held with five state staff members and with four of the service personnel at the local office in Ada.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Sanctioned* Providers | Number FFP Children (July 1975 Only) | Actual Expenditures FY '75 | Anticipated Expenditures FY '76 |
|---|---|---|---|---|
| Public Centers | 763 | 9,165 | $7,065,543 | No breakdown by provider type is available |
| Private Centers | | | | |
| Group Day Care Homes | Group day care homes are not identified as a separate provider category. | | | |
| Family Day Care Homes | 984 | 1,821 | 860,716 | |
| In-home Care | 55 | 173 | 49,941 | |
| TOTAL | 1,802 | 11,159 | $7,976,200 | $8,380,000 |

*Includes all licensed, approved or otherwise sanctioned providers.

Less than 2% of FFP children are served by in-home providers. All facilities are open to and generally serve a combination of FFP-eligibles and non-eligibles.

## 1-4 ,INFORMATION SYSTEM

Nature of Records:

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | yes | The family with the child listed as the service user. | local level |
| Standardized social service forms | yes | The family with the child listed as the service user. | state and local level |
| Computerized records | yes | The family with the child listed as the service user. | state and local level |

Extent of Data: All information pertaining to client identifiers, goal data, and eligibility status is computerized. Partial information on service delivery, service costs, and demographic descriptors is retrievable through the computer. Narrative social service records contain complete information on client indentifiers and eligibility status while containing no cost or goal data. The narrative records are partially complete for the service delivery, eligibility and demographic data. They contain no information on cost or goal data.

Data Aggregation: Fiscal data is compiled at state level where it is keypunched and computerized. Monthly fiscal and program reports are produced but the computer allows for the production of a variety of special reports on an as-needed basis. While the staff did not agree with the need for the level of detail demanded by Title XX reporting requirements, they anticipated no problems in revising their information system accordingly.

## 1-5 STATUTES

A new state regulation requiring all AFDC recipients to register with the employment service is expected to increase the number of clients requesting day care. Other than licensing regulations (which include fire and sanitation requirements and inspection done by other state agencies), city zoning ordinances are the only statues which impact child care operations.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

Local respondents point to their active outreach and the effective information and referral system (i.e., the provider list is published regularly) as the program's key strengths. They felt, however, that the number of child care facilities serving rural Oklahomans and infant-two year old children was inadequate

State officials cited the increased management capability provided by the computerized information system as the major strength in the management area. At the same time, they felt the computer capability has been underutilized.

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: An inderdivisional Title XX Planning Committee coordinated input from each of the functional area divisions in the Division of Social Services.

Staffing: Two and one quarter full time person-months over three calendar months with fractional man-hour input by the Title XX Planning Committee.

### 2-2 PROCESS

Scope: The study covered client needs and services availability and encompassed all social services including child care.

| Sources of Information | Extent Utilized | Strategy |
|---|---|---|
| Documentary Sources | Extensively Utilized | Computer printouts of past service activity; also existing reports & plans reflecting service usage. |
| Agency Personnel | Utilized to Some Extent | Inter-divisional planning committee composed of Division of Social Service personnel. |
| Community Agencies | Utilized to Some Extent | Attended public meetings; use of local agency human needs studies. |
| Service Providers | Utilized to Some Extent | Invited to regional meetings for their comments; had limited time (30 minutes) to speak. |
| Consumers | Utilized to Some Extent | Notified through newspaper ads of regional meetings. |
| General Public | Utilized to Some Extent | Notified through newspaper ads of regional meetings. |

Due to time constraints, the data used to develop the needs assessment was extracted from reports and documents produced prior to Oklahoma's Title XX participation. Therefore, state officials feel the assessment tends to reflect the special needs of the groups or agencies preparing them and are only minimally translatable into statewide consumer needs as intended by Title XX. A more extensive needs assessment is planned for the next program year.

## 2-3 RESULTS/UTILIZATION

Specific Numerical Results Were Generated in Relation to:

- Objective and goals
- Total number of children to be served

Degree of Integration into the Planning Process: The new state regulation requiring AFDC recipients to register with the employment service has the probable effect of increasing the number of clients requesting day care. This increase was reflected in the needs assessment and, as a result, the plan projects expanded day care services.

Unmet Needs: The major unmet need was identified as the absence of providers in specific rural and semi-rural areas of the state.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

On-going Planning: Social services planning is one of the many responsibilities of individual program area supervisors within the Division of Social Services. Most planning activities were limited to developing annual budget and service projections. Limited child care planning efforts were undertaken prior to Title XX.

Title XX Planning: Title XX Planning was the responsibility of an inter-divisional Title XX planning committee composed of the supervisors of the various social service programs.

### 3-2 PLANNING PROCESS

The planning process became more structured and coordinated during Title XX. The effort was more extensive and exacting than previous activities; i.e., this was first time number of children to be served was estimated. Child care planning was no more extensive than other social services planning. IV-B and WIN funds both were slated to run out early in the year; thus, those services were coordinated with Title XX which was to finance some services when existing funds were exhausted.

### 3-3 RESULTS

on

| Areas for Quantification | Defined | Quantified | Types & Numbers | Comparison |
|---|---|---|---|---|
| Total # to be served served | yes | yes | 42,404 for 21-month period | more |
| Population categories to be served | yes | no | AFDC; SSI; income eligibles within variations of state median income | more |
| Priority population categories | no | no | --- | --- |
| Service Provider types | no | no | --- | --- |
| Special Provider attributes (e.g., hrs of service | no | no | --- | --- |
| Geographic Areas | yes | no | Statewide | Same |
| Dollars allocated for service | yes | yes | $8,411,429 pro-rated for 12 months | slightly more |

Planned Organizational Change: Addition of a Purchase of Service Contract Unit.

### 3-4 UTILIZATION/IMPLEMENTATION

The only change is an increase in the number of children to be served, due to the anticipated service increase to AFDC recipients registering with the employment service.

## 4. EVALUATION

No child care evaluations have been conducted.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I&R SERVICES

While information and referral services are generally available at both the state and local levels, no specific department or bureau is labelled Information and Referral. Child care information and referral is provided by SAU-WIN staff members, local income maintenance workers, local voluntary agencies, licensing service workers, and all social service workers. Social service workers and licensing service workers were identified as the most heavily utilized sources of information and referral.

### 5-2 PROCESS

Assembling Information: The Division of Social Services Licensing Unit assembles information on facilities by county and distributes it to workers in their respective district offices. In-home care information is usually assembled by a service worker. at the local level. Most service workers, while utilizing the state-prepared facilities lists, also rely heavily on their own knowledge of local providers in delivering I & R services.

| Provider Type | Systematized? | Frequency of Updates | | Information Compiled | | | |
|---|---|---|---|---|---|---|---|
| | | State | district | ages | hrs. | Rates | Available |
| Centers | yes | quarterly | quarterly | No | No | No | No |
| Homes | yes* | monthly | monthly | Yes | Yes | No | No |
| In-home | yes | approx. quarterly | no in-home care in this district | Unk | Unk | Unk | Unk |

* Available upon request from computerized print-out available through the state licensing unit.

Disseminating Information: The state organizes formal outreach efforts including pamphlet distribution and TV, radio and newspaper announcements. In addition, state licensing workers often speak to community groups, primarily on the availability of child day care providers but also to urge consumers to use licensed facilities.

Assessing Client Need/Referral and Follow-up: The county social service worker assesses the need for child care based on the child's age and personality or developmental level (this is of primary importance), hours or care, and location. The parent actually makes arrangements based on the list of appropriate providers compiled by the social service worker. Parents are encouraged to visit the facilities before making their final by their child(ren). The normal assessment process requires approximately 30 minutes. The client has contact with one worker throughout the process. A worker conducts follow-up visits every 60-90 days to see if the child is receiving adequate care.

Full responsibility for securing in-home care is borne by the consumer in 95% of the cases. Occasionally, social service workers provide referral for in-home care based on their formal and informal knowledge of local providers.

## 5-3 RESULTS (Statewide)

Time Period: 3 Months

| | |
|---|---|
| Number clients seeking social services referral | approx. 6,000 |
| Number clients seeking child care referral | approx. 1,200 |
| Number actively assisted | unk |
| Number securing their own services | unk |
| Number unable to secure services | unk, but probably few, since most facilities are not operating to capacity. |

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

Both the establishment of eligibility regulations and the development of standardized application forms are the responsibility of the DISRS Division of Social Services. The securing of applications and actual determination of eligibility are carried out by the district-level social service worker.

### 6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-non-WIN
- AFDC-WIN
- SSI
- Medicaid
- Income eligibles for most services are defined by the state as anyone whose gross family income does not exceed 80% of the state's median income adjusted for family size ($806/monthly for a family of four). However, for day care, the state fee schedule indicates that:
  - Child care is free for those who earn up to 47% of the state median ($474/month for a four-person family).
  - A sliding fee scale is used for those who earn from 48% to 60% of the state median (from $475 to $600/month in a four-person family).
  - Full payment is required for all those who earn over 60% of the state median ($601/month or more regardless of family size).

  The current fee schedule was designed for former and potential AFDC clients before its application to income eligibles under the state's Title XX program.

Additional qualifying conditions include the parent being employed, in-training, incapacitated by illness or the child being handicapped or needing supervision as a protective service.

There are no designated population priorities because it is assumed there will be enough money to handle all child care requests.

Revisions since the Passage of Title XX: Manual material issued effective 2-1-76.

Materials to Ensure Uniform Interpretations: As of the site visit, no guides had been developed for determining eligibility under Title XX. Workers either use previous materials relating to definitions or "potential and former" or they submit client applications to the state office for determination.

## 6-3 PROCESS AND VOLUME

Applications: Standardized application forms developed by the DISRS Division of Social Services are used throughout the state. Applications are always secured by the district-level social service worker upon meeting with the day care applicant.

In FY '75, about 348,000 applications were received for all social services. About 25,000 (7%) of these were for child care. State-wide, approximately 70 FTE's are annually allocated to process child care applications. State officials considered this minimal manpower.

Eligibility Determination and Verification: The client is always considered the first source of information and is responsible for providing the documentation requested by the social service worker and for notifying the worker of any change in income status. District social service workers who make the actual determinations can decide at their own discretion the extent and type of verification required for each client. Home visits are always required as part of the verification process for income eligibles. Clients usually begin to receive services immediately after eligibility has been determined.

The time lapse between application completion and determination of eligibility ranges from less than a day (the norm) to three weeks (in the case of income-eligibles who require a home visit).

Of the 25,000 applicants for child care services in FY '75, the total found ineligible was approximately 10,600; while the eligible total was about 14,400 clients (approximately 58%).

Quality Control: Clients are responsible for reporting changes in earnings or status that might affect their eligibility. In addition, district social service workers usually conduct an informal follow-up visit to clients every other month, or as needed, while district supervisors regularly spot-check cases. No standardized quality control procedures have been established.

Redetermination of Eligibility: Eligibility is redetermined every six months using the same format as in the initial eligibility interview. Where clients are found ineligible, services are terminated and clients told of their appeal right. At the local level, clients are informed of alternative day care resources.

Appeals: In the past year, approximately three appeals were filed state-wide. All of these were denied.

## 6-4 PARENT FEES

A sliding day care fee schedule applicable to those earning between 48% and 60% of the state median income ($475 to $600/month for a family of four), developed by state day care services staff, is implemented by the local social service worker who assigns the appropriate fee to the client.

## 7. LICENSING

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Division of Social Services is responsible for coordinating the development and for the enforcement of all day care licensing standards for centers and homes. Local and state fire, zoning, and health agencies are also involved in the licensing process.

The licensing function is organized within a special Licensing Unit coming under the authority of the Division of Social Services. Licensing workers are responsible to one of three licensing specialists in the state Licensing Unit. The unit is responsible for homes and centers.

A license is not required for in-home care which is subject to an approval process implemented by a local social service worker.

Staffing: State-wide there are 36 licensing workers who spend about 50% of their time licensing child day care facilities. The remainder of their time is devoted to monitoring for licensing compliance, providing technical assistance to providers, recruiting new facilities and dispensing information on licensing requirements to the community. In sum, about 18 FTE's are allotted to day care licensing activities. All licensing workers are authorized to recommend license denials and revocations, with final authority vested in the state licensing unit.

The minimum educational background for licensing supervisors and specialists is an M.A. in social work or a related field. Other licensing staff are required to have a B.A. in a related field. On the job training is provided and staff members are encouraged to attend relevant workshops on their own.

### 7-2 STANDARDS

Standards Development Process: The standards for centers were up-dated in 1971. A twenty-two member state Child Care Advisory Committee composed of consumers, providers, and child care staff, appointed by the DISRS Director and responsible to the Governor and state legislature, developed the recommended standards. These were eventually submitted to the Director's office and approved. A sixty-day period for provider review and comment followed. A duplicate process was utilized in up-dating family day care home standards in early 1975. In-home care standards are currently being revised by the state Day Care Services Unit. Proposed changes will be developed after reviewing in-home care guidelines from other states and after soliciting recommendations from licensing workers.

Content of Standards:

Staff-Child Ratios

| | Ages | Ratios |
|---|---|---|
| Centers: | Infants | 4:1 |
| | 10 mos.-2 yrs. | 6:1 |
| | 2 yrs. | 8:1 |
| | 3 yrs. | 12:1 |
| | 4-6 yrs. | 15:1 |
| | 6+ yrs. | 20:1 |
| Group Day Care Homes: | N/A | |
| Family Day Care Homes: | 5:1 ratio for all ages including the provider's own. | |

Additional Components of Standards: The following components are part of the standards for centers and homes:

- Facilities
- Fire, safety and sanitation
- Health
- Program
- Educational equipment
- Nutrition

In addition, the standards for centers include the following components:

- Guidance and discipline
- Transportation
- Records and reporting

In-home care standards exist and are currently underoing revision.

Comparison of Standards with FIDCR: Oklahoma has no licensing standards for centers which exceed FIDCR. The standards for family day care homes are more compatible with FIDCR. The state-mandated regulation limiting the total number of children per home (including the day care parent's own) to five for all age groups exceeds the FIDCR regulation for ages 3-14 which permit up to six children including the provider's own. The state does not require the magnitude of health and medical resources specified for providers in FIDCR. The state feels this is appropriate since the EPSDT, Title XIX and Crippled Children Program all supply medical services for FFP children. To require providers to also supply such services, they feel, is a needless duplication of effort for state-sponsored children.

Oklahoma does not mandate operator/facility compliance with FIDCR: consequently, there is no FIDCR certification process. Most of the FIDCR non-ratio standards are met by the administrative agency (DISRS) through either the licensing program or the social services program.

State personnel estimated that less than 1% of Oklahoma's providers are willing/able to comply with FIDCR staff-child ratios. Staff at the local site reported that no providers in their jurisdiction are willing to meet FIDCR standards. Many providers insist they would be forced to close down or would not accept FFP children if they were compelled to comply with FIDCR staffing ratios. The major difficulty is in meeting prescribed staff-child ratios. The state has calculated that child care staffing across the state would have to be increased 77% at an additional cost of $63,000 per week to fully comply with FIDCR. The state has filed a request for waiver, but no decision on the issue has, as yet, been reached.

## 7-3 SUMMARY OF ACTIVITIES

| Provider Type | Sanction Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total # | # Sanctioned | % Disq. | Planned | Actual |
| Public Centers | License | 763 | 763 | Unk | Annual | Annual |
| Private Centers | | | | | | |
| Group Day Care Homes | Group day care homes not identified as a separate provider category. | | | | | |
| Family Day Care Homes | License | 984 | 984 | Unk | Annual | Annual |
| In-Home | Approval | 55 | Unk | Unk | N/A | N/A |

Fees for Licenses: no fees are charged.

Content of License: The licenses for both centers and family day care homes include:

- Date of issue
- Period valid and/or expiration date
- Maximum number of children to be served

In addition, the license for family day care homes includes the category of license and its limitations.

## 7-4 LICENSING PROCESS

Areas of Investigation: For both family day care homes and centers, a licensing study covers:

- Physical characteristics of building
- Provider characteristics
- Provisions for a nutritional component
- Planned schedule of educational activities where the provider claims status as an educational facility
- Provisions for educational and nutritional components
- Provisions for handling sick children
- Attendance records on staff and children

Extent and Nature of Process: All known providers must be licensed. Most providers (90%) hear that a license is required through word of mouth, and others hear from TV and newspaper announcements, or licensing workers making community contacts. There is a structured format for conducting a study. For homes, two visits over a 45-day period are usually required(to see the facility and to see the provider working with the children) to complete a study. Getting the fire marshall or health department to move quickly is sometimes a problem. For centers, five or six visits usually over a 60-day period are needed. The main problem is with operators who haven't done proper research on what licensing requires prior to the worker's first visit. Providers may obtain a 90-day permit after the first visit if minimum conditiosn are met. Follow-up consists of a periodic monitoring visit.

Conditional Licenses: Two types of conditional licenses are issued. The first, a 90-day permit, allows facilities to begin service after minimum health and safety standards are met and depends somewhat on the personal evaluation of the licensing worker. The permit usually calls for specific upgrading functions to be performed prior to the worker's second visit, which occurs within three months of the permit's issuance. At that time, the physical adequacy of the facility is re-evaluated and the worker makes an initial assessment of the provider's capability in working with children. A more standard conditional license is also issued. While it carries a projected date for compliance, a provider cannot operate under a conditional license for more than one year. Follow-up usually occurs within the first

180 days after the issuance of the conditional license. If compliance is not achieved within the one-year period, the license is denied. During the past fiscal year, 18 day care centers (2.3% of all centers) were issued conditional licenses statewide; one conditional license was issued at the local site. Most of these were issued as a result of inadequate plumbing, improper fencing, and the presence of fire hazards.

Revocations: The following describes the standard procedure for revoking a license:

- Facility is notified of area of non-compliance by letter.
- A follow-up visit is conducted by a licensing worker.
- A second letter of notification listing a time limit for final compliance is sent.
- Notification is sent to State Licensing Unit where a decision on worker's recommendation is made.
- Provider can make an appeal.
- Legal action to close the facility is begun if the appeal fails. The appeal may include a plea to the state district court.

About seven revocations have been initiated statewide within the last 12 months. Final outcomes depend on the results of appeals in each case.

No licenses were revoked at the local site in Ada last year.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

The Division of Social Services Licensing Unit has overall responsibility for monitoring child care. Day-to-day monitoring activities are carried out by local licensing workers who are supervised by licensing specialists at the state level. The state licensing specialists review locally-prepared monitoring reports and also make on-site visits to monitor the local licensing worker's performance. Local licensing workers are responsible for monitoring both homes and centers, and are often responsible for more than one county (e.g., the licensing worker in Ada is responsible for five counties). In-home care is also monitored; it is currently the function of local social workers.

There are 36 licensing workers who monitor, counting both state and local personnel. Local monitoring staff spend the majority of their time monitoring facilities, while the state staff's chief activity is monitoring the activities of the local licensing workers. Staff allocations are considered minimally adequate by state officials. Day care personnel at the local site, however, felt staff allocations (one person covering five counties) was completely inadequate. They felt that at least one FTE is needed for each county.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

| Provider Type | By Whom Monitored | Of All Sanctioned | Of All Serving FFP's | Of All Contracted | Frequency | AV,Time Per Unit |
|---|---|---|---|---|---|---|
| Public Centers<br>Private Centers | DSS Licensing Unit | 100% | 100% | 100% | Every 3-4 Months | 1 hour |
| Group Day Care Homes | Group day care homes are not identified as a separate provider category. | | | | | |
| Family Day Care Homes | DSS Licensing Unit | 100% | 100% | 100% | Every 3-4 Months | 45 minutes |
| In-Home | Local Social Workers | 100% | 100% | N/A | Quarterly | 30-40 minutes |

## 8-3 PROCESS

The content areas investigated during monitoring efforts include:

- Staff-child ratios
- Maximum number of children permitted
- Availability of records
- Appearance of facility
- Child activity
- Changes made in physical facilities since last visit
- Children's overall reaction to care

Monitoring for FIDCR compliance is not done. Official monitoring policies cover content, frequency and strategy. At the local level these seem to be largely observed in actual practice. Standardized instruments are utilized for monitoring centers and homes. Areas to be covered under in-home monitoring are left up to the discretion of the social worker. Surprise visits constitute the dominant strategy, although scheduled site visits are used.

## 8-4 RESULTS

State officials reported some providers were consistently out of compliance with state standards. Respondents at the local site indicated that approximately 20-25% off their providers are out of compliance with state standards monthly.

The areas of greatest compliance difficulty cited at both the state and local levels were finding quality facilities, meeting required staff-child ratios, hiring and retaining adequate staff, and developing parent involvement.

When centers and homes are found to be out of compliance, the provider is first informed in person of the nature of the violation(s) with a confirmation letter sent after the visit. A target date for compliance is set with a follow-up visit made to validate any changes. If compliance has still not been achieved, an appeal process is begun at the discretion of the provider. If the appeal is rejected, the process of revoking the provider's license (including court action where appropriate) is completed; and funds are withheld.

Follow-up actions for non-compliance with in-home care standards are determined by the joint consultation of the local social worker, the parent and the provider. Moreover, technical assistance in the form of lectures, films or visits to "model centers is often given as a result of monitoring. State respondents felt that monitoring has affected the content rather than the quantity of technical assistance. In addition, a day care newsletter was developed to inform providers and consumers about various day care issues that surface through monitoring. Also, local officials stressed that the results of monitoring have stimulated suggestions for standards modification. These proposals have been forwarded to the state Child Care Advisory Committee with the hope that they might impact program operations.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The day care unit program supervisor and field representatives are primarily responsible for providing training and technical assistance to service workers throughout the state. It is estimated that 1¼ FTE staff members are annually allocated to child care-related training and approximately 2-3/4 FTE staff members are allotted to provide technical assistance. No money is specifically budgeted for these activities.

Local: Generally, the DISRS social services supervisor, licensing worker, and field representative are all engaged in the provision of training and technical assistance at the local level. The time allocated for child care training in fiscal year 1975 at Ada totalled 1/8 FTE. Two-thirds of a FTE was allocated to providing child day care technical assistance there. No money was specifically budgeted for either of these activities.

Staff Background: DISRS staff members at the program supervisory level generally have at least an M.A. in a related social science or in social work. Unit field representatives generally have at least a B.A. in a variety of fields ranging from education to sociology. Local social service supervisors are required to have, at a minimum, partial completion of an M.A. in social work and at least two years of qualifying work experience in human services provision.

## 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Local Line Staff | State Day Care Unit Field Reps | Training sessions on new program changes; audio-visuals on child development and child care. | All Counties-10 person days/site |
| Local Social Workers | State DSS Licensing Unit | Training on current in-home care standards | All Counties |
| Local Social Service Staff | Local Child Care Personnel | Training on new child care rules and regulations and procedures for delivery of service. | Unk |

Provider Training and Assistance

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Centers | DSS Social Service Supervisors and Field Reps | Assistance on child development evaluation, day care program development, creative play and special problems of infant care. | 47(6%) - 2½ hrs. per site |
| Homes | | | 60(6%) - 1½ hrs. per site |
| Centers (Ada) | Local DISRS Social Services Supervisors, Field Reps and Licensing Workers | Assistance on child development, educational play, behavior problems, nutritional information and program planning. | 100% - 4½ hrs. per site |
| Homes (Ada) | | | 100% - 4½ hrs. per site |
| In-Home (Ada) | | | 100% - 3 hrs. per site |

## 9-3 PROCESS

The methods used to identify training and technical assistance needs include:

- Reports from licensing specialist's field trips
- Reports from state representatives about local staff capabilities
- After revisions in state manuals, training is always presumed necessary to up-date the staff.

Licensing workers and providers were identified as the groups with the greatest need for training and technical assistance. A constant influx of new licensing workers creates a continual need for upgrading their skills. The major needs among providers are for basic child development and program planning skills. Site visits, direct consultation, memos, and telephone calls are the chief means of providing technical assistance. Training is usually provided on an individual basis or through group seminars and meetings.

## 9-4 RESULTS

State officials felt their training and technical assistance efforts were effective in increasing the capabilities of line staff (i.e., licensing workers). The state has no systematic follow-up to evaluate the effectiveness of training and technical assistance services. The state does review the content of regular field reports as a way of gauging the effectiveness of training and technical assistance delivered to providers. At the local site, the supervisor regularly reviews the work of social service staff to assess whether learning has occurred.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Structure:

State - The fiscal function is performed by a separate division within the DISRS. It provides fiscal support for all social services including child care.

Local - There is no unit responsible for fiscal management at the local level. All local fiscal information is forwarded to the state fiscal unit for processing.

Function: The state fiscal unit functions primarily as a limited support unit. Fiscal personnel provide program people with financial statistics and review projected costs of new or revised programs. Program personnel determine dollar allocations. These determinations are subject to the review of the DISRS Director rather than the fiscal unit. The unit's major activity is processing claims for the agency's multiple social service programs.

### 10-2 FISCAL MATERIALS

All materials other than audit report forms are available and regularly used. Most were developed by the Division of Social Services or the day care services unit. Provider billing forms are rated poor while all other materials are rated good to excellent by state staff. Local personnel rate all materials as good, except the rate schedules which they evaluate as excellent.

### 10-3 INCOME SOURCES

| Source | Amount/% FY 74-75 | Amount/% FY 75-76 |
|---|---|---|
| Title XX/IV-A | $7,764,985<br>(97.4%) | $8,380,000 |
| WIN | $ 211,215<br>(2.6%) | Unk |
| CWS | -0- | Unk |
| Unmatched State Funds | -0- | Unk |
| Other | -0- | Unk |
| Total | $7,976,200 | Unk |

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | Expenditures FY 74-75 | Anticipated Expenditures FY 75-76 |
|---|---|---|
| Purchase of Service | | No Breakdown by Method of Service Provision is Available |
| Contracted Facilities | -0- | |
| Vendor-paid Facilities | $7,976,200 | |
| Direct Provision/ Operation | One Center- Amount Unk* | |
| Client Purchase With Social Service Reimbursement | None | |
| Total | $7,976,200 | |

*Direct provision/operation of services is limited to one state-operated day care center. The total expenditures for FY '75 operation of this center are not available and are included in the purchase of service allocation.

Description of Funding Methods/Processes:

A. Purchase of Service: All child care services with the exception of the one state-operated center are purchased through direct vendor payments to providers, including center, family day care and in-home providers.

A limited vendor payment agreement is used to secure arrangements with these providers. It is an abbreviated contract formulated in accordance with general state guidelines. The guidelines currently contain about half of the required Title XX components. However, by April 1, 1976, Oklahoma expects to implement a formal purchase of service contract system in full compliance with Title XX regulations on purchase of service.

In November, 1975, no formal contract management organization existed. Vendor agreements were administered by a half-time assistant supervisor in the Social Services Division. This same staff member is slated to become the full-time administrator for purchase of service contracts in April, 1976. No large-scale sub-contracting is currently undertaken.

The quality control procedures used in paying provider invoices include:

- Periodic audits by licensing workers who check the number of children and attendance records;
- monthly submission of provider invoices to the county office where claimant data is checked against a control card containing all relevant billing information. Approved invoices are next sent to the state Division of Finance which conducts a spot-check before issuing payments to providers. The normal time lapse between receipt of an invoice and issuance of payment is 4-1/2 weeks. 3-1/2 weeks is consumed in verification procedures at the county office.
- When the local office identifies an overpayment, county staff forward a summary explanation of the problem to the state Day Care Program Unit. After verification, the county is notified. Providers are then obliged to remit the amount of overpayment to the county.

B. Direct Provision: The state operates only one facility (a center) directly. A line item budget is not used. Instead, the county supervisor submits a projected budget for the center to the state DISRS where the amount is incorporated into the total day care service expenditure. There are no control procedures to ensure that costs are related only to services.

Client Purchase: None.

## 10-5 RATE ESTABLISHMENT

Unit of measurement: Per child full time (i.e., greater than 6 hrs./day or 32 hrs./week).

| Provider Type | RATES | | |
|---|---|---|---|
| | Basis | Average | Range |
| Public Centers<br>Private Centers | Rates Charged Ineligibles at Same Facility | $4/day | $2.50-$5.00 per day |
| Family Day Care Homes | Rates Charged Other Users by Same Providers; Not to Exceed $3.00 per day | $3/day | Flat Fee |
| Group Day Care Homes | Group Day Care Homes Are Not Identified As A Separate Provider Category. | | |
| In-Home | DISRS Ceiling- Everyone Gets Maximum | $3/day (for one child) | $3.00-$7.50 per day for four or more children |

Maximum Rate, if specified: $5/day maximum for centers; $3/day in homes.

## 10-6 IN-HOME CARE

The Social Services Division has established a ceiling; everyone gets the maximum, $3/day for the first child; $1.50/day for each additional child; $7.50 maximum per family. The minimum wage has not been an issue to date. A relative is not approved for vendor payment if he resides in the home, unless he has given up employment to assume the caretaker role.

## 10-7 INCOME ELIGIBLES AND PARENT FEES

The current child day care fee schedule provides for the levying of fees on a sliding scale to persons whose income falls between 48% and 60% of the median.

The total amount collected from parent fees is not available; the sum collected is used to reduce the cost of billings.

## 10-8 DONATIONS

No donations were received in FY '75.

## 1. OVERVIEW

### 1-1 ORGANIZATION

ADMINISTRATIVE MODEL: State Administered

DESCRIPTION OF ADMINISTRATIVE STRUCTURE: The Department of Human Resources is the designated State agency for the administration of Title XX. Within DHR there are eight Divisions. The Children's Services Division is responsible for all aspects of child day care management but coordinates with other Divisions, particularly the Public Welfare Division, as appropriate in program development, planning and financing.

The Public Welfare Division is not involved in the delivery of day care services but does allow day care as a work related expense in computing State ADC grants. The employed ADC client must complete an income report that describes all work related expenses. This report determines the current monthly grant. No Federal or State funds are paid in the grant for day care. Day care as a work related expense will not be allowed if it becomes apparent to PWD that the provider cannot reasonably expect payment. In such instances, the client is referred to CSD for day care planning as a social service.

Within the State CSD office, the basic responsibility for day care has been placed in the Family Self-Support Services Section (FSSS) which is comprised of two units, Day Care and Work Training.

The Family Self-Support Section is responsible for program management, including program development and design, standards development for licensing and certification, contracting, eligibility criteria, establishment of rate structure, training for staff, and monitoring and development of the biennial budget projections for day care. These responsibilities interface with the other three sections in the CSD organizational structure which have policy, planning and administrative responsibility, the Family Services Section, Community Resource Section, and Staff Services Section.

There are eight Regional Offices of the CSD, each covering several counties. Each Regional Office has three or more Branch Offices responsible for direct service delivery. The Regional Manager has responsibility for the implementation of all aspects of the State day care program, including program policy and procedures, resource development, licensing and certification of facilities, and management of a line item budget which includes a line item for day care.

Licensing of Centers and Group Homes (and certification for payment of Federal funds) is the responsiblity of staff assigned to each Regional Office. Certification of Family Day Care Homes for payment of Federal funds is the responsibility of certification workers or other staff at the Branch Office level.

INFORMATION SECURED DURING ON SITE VISIT TO STATE CHILDREN'S SERVICES DIVISION ON MAY 26 and 27, 1976.

Technical Assistance and consultation is provided to the Regional and Branch Offices on all day care matters by the State FSSS Section and its Day Care Unit.

STATE ADVISORY COMMITTEES: The 1974 State Legislature established a State Day Care Advisory Committee in the Children's Services Division and identified it in law as the Community Coordinated Child Care Council (4-C). The Committee is advisory but has the responsibility to make recommendations regarding expenditures, minimum standards and program delivery, and must have the opportunity to review all planned program changes before they can become effective. They also act as an advocate in day care assisting in development of resources and assisting parents to avail themselves of the State day care program.

The Council is composed of one member from each of the State's 15 4-C Council Districts and 8 members appointed by the Governor. Five are from the professions concerned with day care and three from the consumers of day care.

1-2 RESOURCES ALLOCATED TO CHILD CARE * (ANNUAL BASIS)

| | EXPENDITURES | ALLOCATIONS |
|---|---|---|
| | FY 74-75 | FY 75-76 |
| TOTAL SOCIAL SERVICES FUNDS (TITLES IV-A/XX) | 61,303,380 | 67,433,718 |
| TOTAL CHILD CARE FUNDS (TITLES IV-A/XX) | 11,598,000 | 9,033,875 |
| PERCENTAGE OF TOTAL SOCIAL SERVICES FUNDS ALLOCATED TO CHILD CARE | 18.9 | 13.4 |

*Children only. Does not include adult day care.

Although the figures in Table 1-2 reflect a decrease in day care expenditures between FY 75 and FY 76, the comparitive funding level has remained the same. The budget decrease is a result of two actions taken by the State: 1) The State transferred payments for day care from a service vendor payment to a work related cost for all employed current ADC recipients. This has resulted in an estimated decrease of $2.4 million in the day care budget. 2) The State previously accepted donated cash and public in-kind to meet State day care costs. Such cash donations and in-kind resources now go directly to the 15 District 4-C Councils. Such resources are used to offset the cost of day care and the resultant reduction is reflected in decreased charges to the State for day care for income eligibles. Cash donations and public in-kind resources are no longer a part of the State budget process. This has resulted in an estimated decrease of $1.2 million in the day care budget. The FY 76 allocation for the provision and purchase of day care is exclusively appropriated State General Funds and/or Title XX funds.

Funds shown for day care in Table 1-2 include the staffing costs of an estimated 180 FTE's, which would be approximately 10 percent of the CSD staffing budget.

## 1-3 VOLUME OF CHILD CARE SERVICES

| PROVIDER TYPE | NUMBER SANCTIONED* PROVIDERS | NUMBER FFP CHILDREN (PER MONTH) | ACTUAL EXPENDITURES FY 74-75 | ANTICIPATED EXPENDITURES FY 75-76 |
|---|---|---|---|---|
| PUBLIC CENTERS | 28 | 285 | 802,000 | 625,000 |
| PRIVATE CENTERS | 312 | 3,176 | 8,944,720 | 6,967,191 |
| GROUP DAY CARE HOMES | 46 | 4 | 4,160 | 3,300 |
| FAMILY DAY CARE HOMES | 2,304 | 1,600 | 1,797,120 | 1,399,800 |
| IN-HOME CARE | --- | 45 | 50,000 | 38,584 |
| | | | | |
| TOTAL | 2,690 | 5,065 | 11,598,000 | 9,033,875 |

*Includes all licensed, approved or otherwise sanctioned providers.

## 1-4 INFORMATION SYSTEM

### NATURE OF RECORDS

| TYPE OF RECORD | UTILIZED | PRIMARY CLIENT | WHERE MAINTAINED |
|---|---|---|---|
| NARRATIVE SOCIAL SERVICE CASE RECORDS | YES | FAMILY | LOCAL |
| STANDARDIZED SOCIAL SERVICE FORMS | YES | FAMILY | LOCAL |
| COMPUTERIZED RECORDS | YES | FAMILY | LOCAL & STATE |

A narrative record is maintained which contains information regarding the day care plan made for a child including: parental participation; appropriateness; basis for eligibility; type of facility to be used and the results of or plan for comprehensive health evaluation and immunizations appropriate to a child's age. The narrative record is maintained at the delivery level.

The "Day Care Application and Authorization" is the agreement between parent, agency and provider regarding care to be provided and authorizes payment for care. Copies are given to the parent, provider, and branch payment officer and one is retained in the case record as the official application and basis for care.

The "Day Care Record and Invoice", a computerized payment document, contains information regarding client identifiers, provider, cost, days and hours of attendance, service period, client status, number of children, type of care and parent attestation to the provision of the service. The originals are aggregated at the State CSD and authorize payment. One copy is retained by the Branch Office and one by the provider.

In addition to the above record requirements, the State CSD initiated on October 1, 1976, a computerized social service reporting system. The data is aggregated at the State level and contains the application for service; basis for eligibility; fees to be charged in accordance with fee schedules; client information including identifiers and the service plan, including service to be provided, reason, goals and objectives, and status of objectives.

## 1-5 STATUTES:

The statutes which govern the operation of day care are:

ORS 184.805 - establishes the Children's Services Division and defines broad responsibilities including provision of day care and licensing of day care centers.

ORS 418.373 - establishes the Community Coordinated Child Care Council (State Day Care Advisory Committee.)

ORS 418.805 - 418.990 - establish CSD as the State licensing authority for Day Care Centers and Family Group Homes, establish minimum requirements and authorize CSD to consult, advise and train staff of such facilities.

## 1-6 IDENTIFIED STRENGTHS/PROBLEMS

1. State Advisory Council: The Children's Services Division, by statute, has an advisory council which is called the Community Coordinated Child Care Council. Its specific role and responsibility is to advise CSD on policies and procedures, their implementation, and on the needs of and for day care in their respective communities. This Council is made up of persons who represent 14 geographic districts in the State, and a 15th district that represents primarily migrant and Indian interests with a very heavy rural input. The major advantage in this Council is that the agency has the benefit of Statewide input regarding policies, procedures and day care needs. This is a rather unique process in that it is mandated by law, and has provided the State with considerable assistance and help in terms of advice and counsel from the local level.

2. Day Care Licensing

Strengths: The Oregon statutes relating to Day Care Centers is well written and include most of the provisions recommended in the models for day care licensing as developed by OHD/OCD. Oregon, through a certification process, has utilized the Federal Interagency Day Care Requirements to approved all day care providers serving Federally subsidized children since 1969.

Weaknesses: Oregon statutes relating to day care do not apply to providers caring for less than six children. Future legislation is planned to reduce that number to three.

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT:

The Family Self-Support Services Section and its Day Care Unit had responsibility for needs assessment activities for budget planning for the biennium ending June 30, 1977. As no staff are assigned specifically to this function, needs assessment activities were completed by staff in conjunction or concurrently with their other duties, by contract, and by input from District 4-C Councils, service providers and consumers.

Data gathered to identify need was utilized by CSD to establish program and funding levels and was incorporated in the Title XX Plan developed by the Department of Human Resources.

Two needs assessment studies were completed, one of which was contracted by CSD and utilized heavily in planning. The study identified by 4-C Districts the area of need for specific groups in the population such as single parent families, married women in the labor force with children under six, number of families below the poverty level, etc.

The other study is a Statewide Migrant Needs Assessment for migrant child care planning and was completed by the Migrant Indian Coalition (15th 4-C District Council).

## 2-2 PROCESS

SCOPE:

| SOURCES OF INFORMATION | EXTENT UTILIZED | STRATEGY |
|---|---|---|
| DOCUMENTARY SOURCES | EXTENSIVELY | Review of program and fiscal data for trends. Census tract data. |
| AGENCY PERSONNEL | SOME EXTENT | Review of 1) impact of policy and procedure, 2) determination of immediate need, 3) budget recommendations. |
| COMMUNITY AGENCIES | EXTENSIVELY | Through the Statewide District 4-C Council network, these three groups have participated in 1) defining and specifying unmet needs, 2) establishing budget priorities, and reviewing impact of policy and procedures on programs. |
| SERVICE PROVIDERS | EXTENSIVELY | |
| CONSUMERS | EXTENSIVELY | |
| GENERAL PUBLIC | EXTENSIVELY | Letters and telephone calls to CSD, legislators, Congressional delegates and other officials regarding eligibility, standards, fees, Federal requirements and individual opinions. |

## 2-3 RESULTS/UTILIZATION

It is estimated that at least 90 percent of all policy developed or modified is as a result of input from community agencies, service providers, consumers and expressions from the general public.

STRENGTH:

The State Title XX agency, the Department of Human Resources, is in the process of completing a Statewide needs assessment for all services provided through its eight Divisions. The process is problem related by county (32) and all local elected officials, organizations, special interest groups, etc., have been involved by local leadership from local governments.

An evaluation of the process is planned through a grant from SRS.

## 3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION AND LEVEL OF EFFORT: The Children's Services Division has a formalized continuous planning and program development system for day care. Two FTE's, including a Manager of Program Design and Standards, are assigned to this responsibility. The Manager has responsibility for assuring interface with the Manager of Licensing and Certification, the Eligibility Consultant, 4-C District Council Consultant and Budget Planner, the Training and Employment Consultants for WIN, and the State Advisory Council.

3-2 PLANNING PROCESS: Primary input into planning comes from the Family Self-Support Section, Regional and Branch delivery staff, and the 15 District 4-C Councils.

The Single Administrative Unit for WIN is a unit of the Family Self-Support Services Section so all day care planning takes place within the Section. No Title IV-B funds are used for day care.

The Department of Human Resources is responsible for Title XX planning with program input from the two social services Divisions, the Children's Services Division and the Public Welfare Division. The State budget for day care services was established prior to Title XX so the only additional action taken was to translate the biennial program plan and budget into the State's 21 month Title XX Plan. No comparison can therefore be drawn between the pre- and post-Title XX planning process.

## 3-3 RESULTS

| AREAS FOR QUANTIFICATION | DE-FINED | QUANTI-FIED | TYPES AND NUMBERS | COMPA-RISON |
|---|---|---|---|---|
| TOTAL NUMBER TO BE SERVED | YES | 5065 ADP | Income eligibles - 3182<br>Current recipients employed or in training - 1883 | SAME |
| POPULATION CATEGORIES TO BE SERVED | YES | 5065 ADP | Income eligibles - 3182<br>Current recipients employed or in training - 1883 | SAME |
| PRIORITY POPULATION CATEGORIES | YES | 5065 ADP | Income eligibles - 3182<br>Current recipients employed or in training - 1883<br>Equal in priority | SAME |
| SERVICE PROVIDER TYPES | YES | 2690 | Centers - 340<br>Groups - 46<br>Homes - 2304 | SAME |
| SPECIAL PROVIDER ATTRIBUTES | YES | NO | Night Time Care<br>Drop in Care<br>Latch Key<br>Infant Care | SAME |
| GEOGRAPHIC AREAS | YES | YES | Statewide | SAME |
| DOLLARS ALLOCATED FOR CHILD CARE SERVICE | YES | YES | 9,033,875 | LESS* |

*Refer to 1-2 for reasons for decrease in funding level

PLANNED ORGANIZATIONAL CHANGES: None in day care.

## 3-4 UTILIZATION/IMPLEMENTATION

Planning will identify major areas for program development and modification. Oregon is spending above the Federal funding ceiling and any expansion in number or groups to be served would require further increases in State funding.

## 4. EVALUATION

The only evaluation of the day care delivery system in Oregon was done by UNCO, Inc. under contract to the Regional Office of HEW. This study was concerned with the quality of Federally supported day care in all four States of Region X. It resulted in the establishment of a joint State/Regional partnership to evaluate the level of the States' compliance with the FIDCR's A Monitoring Guide has been developed and self-evaluation instruments designed to measure State Administrative compliance with the FIDCR's. The administrative self-evaluation is now in process and the provider self-evaluation instruments are being field tested. Oregon, as other States in Region X, has participated continually in this effort.

## 5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I&R SERVICES: There is no separately identified system for I&R in Oregon. This function is the responsibility of delivery staff. This includes responsibility for the dissemination of handouts and provision of verbal information regarding the State's day care program.

Each local office is required to have a continuously updated file on all licensed and Federally certified facilities. It is used by day care workers to plan placement and make referral to clients or the general public. In addition, CSD publishes a quarterly list of licensed day care centers and family group homes. This list is available on request from CSD

The day care worker (social service worker) at the local level is responsible for assessing the client's need for day care in a face-to-face interview with the client. The worker discusses the following:

1) Whether the parent is ready at this time to go into employment or training and the child into day care placement.

2) The individual needs of the child and his family in relation to day care.

3) Kinds of problems which may occur when a child goes into day care.

4) The importance of a pre-placement visit for the child, the parent and the provider.

5) The kinds of information the parent should share with the provider; what the parent looks for in a day care provider and facility; and how the parent might use the pre-placement visit to the best advantage of the child.

6) The responsibilities of the parent and the provider in the day care placement.

7) Services that the agency can provide.

8) Information about specific facilities referred.

9) Information about the parent's responsibility in the payment process, his share of payment if any; the payment procedure, his responsibility for letting the worker know of any changes in plans or problems with placement or change in eligibility status.

The parent's role is an active one in this process; one of providing information to the worker so that the best facility for the child may be chosen if day care is an appropriate service. The parent makes the final choice of facility. The parent has the main responsibility for the pre-placement visit and making arrangements for placement.

The worker may contact the provider but the usual procedure would be to refer the client to several facilities to look over and the client would make his own arrangements and report the outcome to the worker. The procedure would depend upon the ability and independence of the client and the worker's time.

Follow-up activities: at least each three months for a social service review, and redetermination of eligibility each six months. More frequent activity if there are problems.

## 5-2 PROCESS

ASSEMBLING INFORMATION:

| PROVIDER TYPE | SYSTEMITIZED | FREQ. OF UPDATES | INFORMATION COMPILED | | | |
|---|---|---|---|---|---|---|
| | | | AGES | HRS. | RATES | AVAIL. |
| CENTERS | YES | Continuous | X | X | X | X |
| HOMES | YES | Continuous | X | X | X | X |
| IN-HOME | NO | NA | NA | NA | NA | NA |

5-3 RESULTS*

TIME PERIOD: ______________________

| |
|---|
| NUMBER CLIENTS SEEKING SOCIAL SERVICES REFERRAL |
| NUMBER CLIENTS SEEKING CHILD CARE REFERRAL |
| NUMBER ACTIVELY ASSISTED |
| NUMBER SECURING THEIR OWN SERVICES |
| NUMBER UNABLE TO SECURE SERVICES |

*The above information is computerized but cannot be extracted at this time. No estimates were available.

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

Eligibility policies are established at the State level by CSD. Social service workers at the local office secure the completed applications and determine eligibility for AFDC-WIN and AFDC non-WIN clients. Eligibility workers at the regional level in the State determine eligibility for income eligible clients.

### 6-2 POLICY PROVISIONS

Policies for income eligible clients were revised and effective January 20, 1976. Policies for AFDC recipients were revised effective July 1, 1975.

Eligible population categories are:

a. AFDC-WIN

b. AFDC non-WIN

c. Income Eligible (up to 115% of the State median income. This is equivalent to $1321/month for a family of four.)

d. Indochinese Refugees.

Special criteria in addition to membership in an eligible population category must be met. The parent must:

a. Be employed, or

b. be in a CSD approved training program, or

c. be receiving medical treatment, or

d. be unable to care for the child full time because of a physical, mental, or emotional incapacity.

Priority is given to the AFDC recipient enrolled in WIN and the employed income eligible client.

Materials to ensure uniform implementation: A series of bulletins containing State guidelines are available at local and regional offices.

## 6-3 PROCESS AND VOLUME

APPLICATIONS: The State uses a standardized application and other day care forms Statewide. The local day care worker is responsible for securing completed applications. Providers may assist by referring income eligible families to local CSD.

Workers spend between 1/2 hour and 2 hours on processing of applications. Redetermination of eligibility takes less time as many of the forms can just be updated. The State serves many income eligibles and often there is very little change in their situation. The percentage of child care applications in reference to total social service applications is unknown at this time. Day care-only caseloads vary between 60 and 100, with the ideal at 60.

PROCESS: Local CSD workers interview the client/applicant and make the determination of eligibility for AFDC recipients. The same caseworkers take the application for income eligible applicants but forward the information to a regional eligibility worker who makes final eligibility determination. Eligibility is determined based on Title XX regulations regarding income or recipient status and State criteria regarding population to be served. Eligibility for AFDC recipients is determined by checking income-maintenance records. Income eligible verification is based on wage stubs, cancelled checks, employer contacts, and tax returns. A client may receive services from the date of application only if eligibility is determined within 10 working days from the date of application. When eligibility cannot be established within 10 working days of application, services start the date eligibility is established. In 90 percent of the cases, services start the date of application.

QUALITY CONTROL: At this time there is no formal quality control procedure. It is essentially the client's responsibility to report changes that could effect eligibility. It is required that the client be seen every 90 days for service plan review and at least once every six months for redetermination of eligibility. If the worker has reason to question information provided by the client, permission is requested from the client to contact collateral sources. The provider of services is also made aware of the responsibility to notify the agency of significant changes.

REDETERMINATION OF ELIGIBILITY: Redetermination of eligibility is done at least once every six months. Tickler files are set up in the local office and notification sent to the client in writing. If the client does not contact the worker before eligibility expires, the worker notifies the client that the client is ineligible for further service until redetermination can be made. Clients who are or become ineligible often choose to use day care facilities that do not hold a State license or a Certificate of Federal Compliance.

APPEALS: In FY '76, the State has had a total request for 15 fair hearings. Four requests were withdrawn, two are pending, and eight have been processed. Hearings are conducted in accordance with State Law ORD 183.415 through 183.500.

STRENGTH OF ELIGIBILITY SYSTEM: Local staff was familiar with dealing with AFDC recipients requesting day care, but had not dealt directly with income eligibles until October 1, 1975. Non-AFDC clients applied for day care through the provider and eligibility was determined at the State level. After October 1, 1975, local staff processed applications for all subsidized day care. Policies and procedures were reviewed to include income eligibles. Eligibility workers located in the State's regional offices make the final determination of eligibility for income eligibles and assist in other day care questions that arise. This system adds to quality control resulting in a more uniform application of eligibility standards Statewide. Payment is handled by the local office reviewing the invoices and forwarding the approved invoices to the State fiscal office where the payment is actually made for services.

## 6-4 PARENT FEES

The State of Oregon has always had a sliding fee scale for day care for former and potential recipients and now income eligibles whose income is between 65 percent and 115 percent of the State's median income for a family of four adjusted to family size. The fee schedule adopted October 1, 1975, is presently under revision as prescribed by the Title XX public review process. If adopted, fees will generally be lower for income eligibles. Fees are not charged to income maintenance eligibles. If an income eligible is not subject to the day care fee schedule, then the only fee paid is a one-time annual fee paid by other income eligibles for the majority of services in the State's Title XX Plan.

## 7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION: The Family Self-Support Services Section has responsibility for ensuring there are State licensing standards and Federal Certificate of Compliance standards, that there are procedures, that standards and procedures are implemented at the Regional and Branch Office levels and that standards and procedures are monitored.

STAFFING: Licensing and certification staff are assigned to the eight Regional Offices for center and family group home licensure and certification and to Branch Offices for certification for Federal payment for family day care homes. The authority for licensure, revocation of license and denial of applications rests with State CSD but responsibility for action is delegated to the Regional Offices.

The State has assigned 25.05 FTE's to Regional and Branch Offices to license, certify, monitor and provide TA to providers in improving quality of care. Staff working with centers and group homes are required to have a BA Degree and one year of casework experience. ADC recipients are employed to carry out responsibilities related to family day care homes. They enter the State civil service system as Aides and are trained to carry out their function by CSD following employment.

7-2 STANDARDS:

The CSD has, under law, established standards for:

1) Day Care Centers.

2) Infant and Toddler Centers.

3) Family Group Homes.

4) School Age Day Care Centers.

Additionally, by administrative action, they have developed in order to meet Federal requirements, "Guidelines for In-Home Care" and "Basic Standards for Family Day Care Homes". Family day care homes are certified as meeting the FIDCR's in order to receive and care for Federally funded children.

Basic responsibility for the development of standards rests with the Family Self-Support Services Section. By law, standards so developed must be reviewed before implementation by the State's Advisory Committee, or the Community Coordinated Child Care Council. In addition, the State seeks out recommendations from providers, consumers and other interest groups and takes into consideration general public comments.

Under the State's Administrative Practices Act CSD must hold public hearings on any revision to standards for centers and family group homes if an individual representing ten or more citizens requests such a hearing. By administrative decision, the practice has been to hold such a hearing even if no request for hearing is received. The content and complexity of the revision determines the number of hearings scheduled around the State. A minor revision with no request for hearing usually results in one hearing at the State Capital.

CONTENT OF STANDARDS:

STAFF-CHILD RATIOS

| | AGES | RATIOS |
|---|---|---|
| CENTERS | 6 weeks - 2 and 1/2 years<br>2 and 1/2 years - 6 years<br>7 years - 15 years | 1-4<br>1-10<br>1-15 |
| GROUP DAY CARE HOMES | 6 weeks - 6 years (no more than 2 under 2 and 1/2 years)<br>2 and 1/2 years - 6 years<br>7 years - 15 years | 1-6<br>1-10<br>1-12 |
| FAMILY DAY CARE HOMES | No licensing authority for establishing State standards. Homes are certified for Federal payment. Staff-child ratio conforms to FIDCR's. | |

Other components of standards for centers and group day care homes are:

1) Admittance regulations.

2) Personnel.

3) Program and care of children (infants and toddlers).

4) Health care.

5) Medical policies.

6) Physical setting.

7) Transportation.

8) Nutritional needs.

9) Record keeping.

10) Exceptions.

11) Federal requirements for FFP.

State standards for centers and group homes do not incorporate the FIDCR child-staff ratio, social service requirement, health requirements for children, staff training, parent involvement and personnel practices. They do, however, provide that the above Federal requirements be met and that a facility hold a certificate of Federal compliance if the facility wishes to care for Federally funded children.

Of the providers licensed by the State, 50 percent of the centers and 33 percent of the group day care homes hold certificates of compliance with the FIDCR's. Family day care homes are not licensed but are studied against certification standards developed by the State. These standards incorporate all the components of the FIDCR's. One hundred percent of the family day care homes are certified as meeting the FIDCR's.

IMPLICATIONS OF THE FIDCR's FROM THE STATE'S PERSPECTIVE (Direct Quote):

A. The high cost of meeting the FIDCR's, particularly the staff/child ratio, has made the cost of care so high in participating facilities that private paying families cannot afford to use them. In many areas in Oregon, even entire counties, the only licensed facility is Federally certified and serves only subsidized children. Instead of insuring quality care for children it results in children being excluded from care. It also results in segregated care, as only low income children are served.

B. It is recognized that the FIDCR's are based on Head-Start standards. Some of the provisions are more applicable to Head-Start programs than to day care facilities, particularly in the parent involvement requirements. It is very difficult to involve the employed parent.

C. By making the educational services optional, the FIDCR's are severely weakened. By removing all requirements relating to program and to staff, about all that remains are health and safety requirements. Since Oregon law does not apply to family day care, removing the requirement of training or demonstrated ability (experience) has weakened the State's position in applying program standards to family day care providers in the Federal certification process.

D. When the FIDCR's were implemented in 1969 there was no ceiling on Federal social services funds. Since the ceiling was placed on these funds and it was necessary to curtail services in Oregon, it is difficult to provide the resources to meet the FIDCR's particularly in the areas of training and health services. Additional funding is necessary and should be made available to States specifically to meet these requirements since otherwise States have only one choice, that is, to reduce funds available for actual child care in order to train providers and provide health services.

## 7-3 SUMMARY OF ACTIVITIES

| PROVIDER TYPE | SANCTION REQUIRED | PROVIDERS | | | RENEWAL FREQ. | |
|---|---|---|---|---|---|---|
| | | TOTAL # | #SANCTIONED | % DISQ. | PLANNED | ACTUAL |
| PUBLC CENTERS | CERT. FOR FFP | 28 | 28 | - | ANNUAL | ANNUAL |
| PRIVATE CENTERS | LICENSE | 312 | 312 | 1 | ANNUAL | ANNUAL |
| GROUP DAY CARE HOMES | LICENSE | 46 | 46 | 1 | ANNUAL | ANNUAL |
| RELATIVE DCH's AND FAMILY DAY CARE HOMES | CERT. FOR FFP | 2304 | 2304 | 2 | ANNUAL | ANNUAL |
| IN-HOME | NA | NA | NA | NA | NA | NA |

FEES FOR LICENSES: Centers are charged a fee of $15 if they are licensed to care for 12 to 30 children and $30 if they are to care for more than 30 children. Family group homes are charged a fee of $5.

CONTENT OF LICENSE: The license specifies the name of provider, the address, number and ages of children to be cared for and any qualification.

## 7-4 LICENSING PROCESS

Areas of investigation are limited to those contained in State standards and the FIDCR's for FFP. Study time for centers and family group homes averages 45 days. This includes a minimum of three visits by licensing staff, one visit by the State Fire Marshall and two visits by the State Health Division Study time for family day care homes averages 35 days. This includes a minimum of two visits by staff. Fire and health inspection visits are not required but such inspection is the responsibility of the caseworker. If deficiencies are noted the worker requests official fire and health visits.

CONDITIONAL LICENSES: If, after a complete study has been made of the facility, some area which will not effect a child's health or safety is identified as needing to be improved, the State may issue a "Temporary" license or certificate for a maximum of 180 days. The usual practice is to issue the "Temporary" for 60 days. In FY '76 the State issued temporary licenses to 37 centers, none to group homes and 16 temporary certificates to family day care homes.

REVOCATIONS: State law provides for a revocation process for centers and family group homes. The State estimates no more than 10 revocations per year with the majority being an administrative revocation of the State's own certificate issued to family day care homes for FFP purposes.

## 8. MONITORING

### 8-1 ORGANIZATION

The Family Self-Support Services Section is responsible for ensuring that all facilities are monitored to ensure continued compliance with State standards and, when appropriate, with the FIDCR's ~~for FFP purposes~~. Such monitoring is in accordance with State policy for centers and family group homes. Both scheduled and surprise visits are made.

No statistics are available as to the percentage out of compliance.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

| | | PERCENT MONITORED | | | | |
|---|---|---|---|---|---|---|
| PROVIDER TYPE | BY WHOM MONITORED | OF ALL SANCTIONED | OF ALL SERVING FFP's | OF ALL CONTRACTED | FREQUENCY | AV. TIME PER UNIT |
| PUBLIC CENTERS<br>PRIVATE CENTERS<br>GROUP DAY CARE HOMES | STAFF ASSIGNED TO REGIONAL OFFICES | 100% | 100% | 100% | QUARTERLY FOR FIDCR<br>SEMI-ANN. FOR STATE | 3 HOURS |
| FAMILY DAY | STAFF AT BRANCH | 100% | 100% | 100% | ANNUAL | 1.5 HR |
| IN-HOME | NONE | NONE | NONE | NONE | NONE | NONE |

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION

TRAINING: The Family Self-Support Services Section is the primary provider of training related to day care for Regional and Branch Office staff. Such training is carried out with consultation from the Staff Training Unit in the Administrative Services Section. Purpose of training is to enable assigned staff to work more effectively with providers.

Staff Development trainers are assigned to each Regional Office and provide generic social work practice training to all staff in their Region.

Regional and Branch day care workers plan and develop training for providers with consultation on general training techniques from the Region Staff Development trainers. Such training planning is up to each Region so it varies considerably in amount and quality in accordance with resources available, such as local Community Colleges. The training is primarily related to nutrition, first-aid, child development, standards, etc. In addition, the 15 4-C District Councils may also provide training for all providers in their District.

TECHNICAL ASSISTANCE: The Family Self-Support Services Section provides ongoing technical assistance to Regional and Branch Office staff in such areas as:

1) Interpretation of policy.

2) Advice on implementation of policy and procedures.

3) Assistance with eligibility criteria and process.

4) Licensing standards and FIDCR certification process and procedures.

5) Contract development and procedures utilizing the contract officer in the Administrative Services Unit.

6) Contract monitoring.

7) Rates.

8) Payment process, primarily with the assistance of staff of the Staff Services Section.

Regional and Branch Office day care staff provide technical assistance to providers in the following areas:

1) Policy and procedural interpretation.

2) Payment process.

3) Eligibility criteria.

4) Licensing and certification standards and requirements.

5) Contracts.

6) Monitoring requirements.

7) Consultation to potential providers on licensing and certification requirements and the State day care program.

8) Ongoing program development and improvement.

In addition, the 15 District 4-C Councils may provide technical assistance to providers in their Districts.

## 9-2 ACTIVITIES

STAFF DEVELOPMENT

| TO WHOM | BY WHOM | DESCRIPTION | AMOUNT |
|---|---|---|---|
| REGIONAL & BRANCH STAFF | STATE STAFF | SEE ABOVE NARRATIVE DESCRIPTION | SAME |

PROVIDER TRAINING AND ASSISTANCE

| TO WHOM | BY WHOM | DESCRIPTION | AMOUNT |
|---|---|---|---|
| ALL SANCTIONED PROVIDERS | STATE STAFF, REGIONAL AND BRANCH STAFF, 4-C DISTRICT COUNCIL | SEE ABOVE NARRATIVE DESCRIPTION | SAME |

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

The Family Self-Support Services Section and its Day Care Unit has primary fiscal management responsibility for the State's child day care program. FSSS interfaces very closely with the Staff Services Section and its five sub-Units, the Personnel Unit, Management Systems Unit, Administrative Services Unit, Grants Coordination Unit and the Training Unit.

The Administrative Services Unit establishes guidelines for the control of all Regional Office budgets including day care, accepts and pre-audits payment requests, makes payments and generates expenditure reports. They assist FSSS in contract development, development of Regional allocation plans, identification of trends in expenditures, identification of problems in budget control, and actions that need to be taken to assist Regional Offices to live within their line item day care budget. The financial management information they generate and the technical assistance they provide to FSSS permits FSSS to carry out their management responsibility to monitor the Regional Offices line item day care budget and provide technical assistance if problems are identified in budget control or expenditures.

Payment procedures and forms are developed by FSSS in conjuction with the Management Systems Unit which also assists in developing methodology and report procedures for such actions as time studies.

The FSSS coordinates with the Grants Coordination Unit on any day care related grant processed through CSD and made to providers, provider groups, District 4-C Councils, Community agencies and organizations, etc.

The Regional and Branch Managers are responsible for the administration of the Regional line item budget for day care and interface with FSSS and the Staff Services Section with respect to expenditure trends and problems, billing and payment process and problems, and assuring contracts are in force for all authorized vendor payments.

### 10-2 FISCAL MATERIALS

Refer to Section 6, Client Eligibility, for the explanation of forms used for eligibility and authorization of payment. The basic payment document for both direct and contract payments is the "Day Care Record Invoice".

The Training Unit provides technical assistance to FSSS in establishing training plans for all staff working in day care services.

The Personnel Unit assures that State Civil Service requirements are met in hiring staff. They assist FSSS and the Regional and Branch Offices in review of applications and all actions necessary to employment. Final employment decisions are made by FSSS and the Regional Managers.

All fiscal materials, including forms, have been developed and are rated as good.

## 10-3 INCOME SOURCES

| SOURCE | AMOUNT/% FY 74-75 | AMOUNT/% FY 75-76 |
|---|---|---|
| TITLE XX/IV-A | 8,906,478 | 7,646,924 |
| WIN | 2,691,522 | 1,386,951 |
| CWS | --- | --- |
| UNMATCHED STATE FUNDS | --- | --- |
| DONATIONS - CASH<br>IN-KIND<br>TOTAL | 149,304<br>1,920,317<br>2,069,621 | --- |
| TOTAL | 13,667,621 | 9,033,875 |

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| METHOD | EXPENDITURES FY 74-75 | ANTICIPATED EXPENDITURES FY 75-76 |
|---|---|---|
| PURCHASE OF SERVICE CONTRACTED FACILITIES | 4,977,670 | 5,000,000 |
| VENDOR-PAID FACILITIES | 6,620,330 | 3,033,875 |
| DIRECT PROVISION/OPERATION | --- | --- |
| CLIENT PURCHASE WITH SOCIAL SERVICE REIMBURSEMENT | --- | --- |
| TOTAL | 11,598,000 | 8,033,875 |

PURCHASE OF DAY CARE SERVICES: CSD does not operate a day care facility or provide clients with funds to purchase their own day care. All day care is provided through contractual arrangements by vendor payments.

CSD purchases by contract directly from providers for income maintenance eligibles and contracts with the 15 4-C District Councils to provide day care services for income eligibles. The Day Care Unit in FSSS, in conjunction with the contract officer in the Administrative Services Unit, Staff Services Section, develops direct and indirect provider contracts. FSSS, in conjunction with Regional and Branch day care staff, assures that all direct providers have signed a contract. FSSS directly contracts with District 4-C Councils who subcontract with providers. All subcontracts are based on State criteria for conformity with Subpart G of 45 CFR 228 and the procurement requirements of 45 CFR 74. Contracts have been signed by all providers.

10-5 RATE ESTABLISHMENT: The 1975 State Legislature established an Intergovernmental/Provider "Day Care Base Rate Task Force" to establish base rates for all types of provider care. The coutcome as accepted and approved by the State Emergency Board (a board which conducts Legislature business between sessions) was a maximum rate for each type of care. The rates are $.80 per hour per child in centers and family group homes, $.56 per hour per child in family day care homes, and $2.30 per hour per family for approved in-home care.

CSD utilized the 15 District 4-C Councils to determine and recommend the rate up to the maximum to be paid for each type of care in each District. The rate so recommended was established by CSD as the maximum that would be paid for each type of day care in that District. The rate applies to both direct payments made by CSD for income maintenance eligibles and to payments made under contract to the District 4-C Councils for income eligibles.

UNIT OF MEASUREMENT

| PROVIDER TYPE | | RATES | |
|---|---|---|---|
| | BASIS | MAXIMUM* | RANGE |
| PUBLIC CENTERS | Recommended by Intergovernmental /Provider Task Force established ty the Legislature. Rates established are based on provider questionnaire, public hearings, knowledge of Task Force members. | .80 per hour per child | Rate is maximum that can be paid but District 4-C Council may set rate at a lower level to reflect local rate practices. |
| PRIVATE CENTERS | | .80 per hour per child | |
| FAMILY DAY CARE HOMES | | .56 per hour per child | |
| GROUP DAY CARE HOMES | | .80 per hour per child | |
| IN-HOME | | 2.30 per hour per family | |

*Maximum rate

## 10-6 IN-HOME CARE

With the advent of the minimum wage law, the agency had to put strict requirements on use of funding for in-home child care. In-home care can only be used when care is required for five or more children in one family; or when no other type of child care is available and the lack of in-home care would preclude the parent's employment or training; or if a child, who is ordinarily in care to support a parent's employment or training, is ill.

There is, in effect, no parent or service worker choice. In-home care is used only when it is fiscally advantageous or mandated by an unusual circumstance. Prior to the inception of the minimum wage law, in-home care was used widely in Oregon, especially in rural areas.

The State has developed "Guidelines for In-Home Care" which encompasses criteria such as:

1) Children for whom in-home care is appropriate.

2) Qualifications of in-home caretaker (age, physical health, attitudes toward children, emotional maturity and health).

3) Housing.

4) Working agreement (hours of work, number of children in care, services in addition to child care, termination).

## 10-7 INCOME ELIGIBLES AND PARENT FEES

Services are provided to income eligible families with income up to 115 percent of median income. A service/application fee is charged if the family gross income is between 80 percent and 115 percent of the median income.

Day care subsidy may require a larger fee. Some families must pay a fee when their gross income falls below 80 precent of the median income. The day care fee substitutes for any service/application fee.

No fee is charged for services if eligibility is based on AFDC Recipient or Protective Service status.

Fees are set depending on family size and gross income. The fees were implemented Statewide October 1, 1975. The day care fee has been revised effective July 1, 1976. The family pays the service/application fee to CSD. The family pays the day care fee to the provider of service and CSD subsidizes the balance of approved day care costs.

## 10-8 DONATIONS

The State does not accept cash or in-kind donations. The District 4-C Councils do and such donations reduce the cost of care the State pays for income eligibles in District 4-C Council contract facilities.

# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: State administered.

Administrative Structure: The designated state social services agency is the Department of Public Welfare (DPW), an umbrella agency. Under the Secretary of Public Welfare is an Executive Deputy Secretary who coordinates the activities of nine deputy secretaries. One Deputy Secretary directs Managements Services, four others direct DPW services in each of the four regions, and four Deputy Secretaries are responsible for policy development. This latter group includes the Deputy for Social Programs, under which the Office of Children and Youth falls. The Bureau of Child Development (BCD) is a part of this Office, as is the Bureau of Service Systems Support (BSSS). The BSSS develops policies on eligibility and Title XX planning. The actual process of eligibility determination occurs at the county level social services agency, usually the County Board of Assistance.

Fiscal management is the responsibility of two units. The Bureau of Fiscal Management, under the Deputy for Management Services, develops program budget requests, manages federal matching funds, and implements the fiscal monitoring system. The Comptroller, assigned to work with the DPW by the Governor's Office of Administration, is responsible for actual payment procedures for contracted provider agencies. The Comptroller's unit also developed the accounting systems used by provider agencies. The Regional Fiscal Management units of the DPW are responsible to both of the state fiscal units and provide direct monitoring of contracts.

The BCD is responsible for overall day care policy. Actual implementation of policy is the responsibility of the four Regional Deputies.

The regional offices are charged with licensing/approval, monitoring, coordinating I & R services, and training and technical assistance functions. In respect to the licensure/approval function, the regions undertake studies of facilities and send their recommendations to the state level Social Programs' Office of Licensing which actually issues licenses and certificates of approval. Licenses are issued to private commercial providers; certificates of approvals are issued to non-profit facilities under public auspices (e.g., school boards, charitable groups). Approvals are also given to family day care homes serving 3 or less children, whereas licenses are required for homes serving 4-7 children

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The Pennsylvania site visit was conducted in late February, 1976. Interviews were held with numerous state personnel and local personnel in both the Central and Northeast Regions.

All publicly funded child day care is provided through contracts between the regional offices of the DPW and county boards of commissioners, county school districts, or other county - wide administrative units. The prime contractor with the regional DPW office is one of these county governmental units.

The actual operation of publicly funded (i.e., Title XX) day care facilities is overseen by primary agencies which tend to the administrative and fiscal responsibilities of their member facilities. These primary agencies are a required liaison between the county (e.g. prime contractor) and the providers who wish to serve FFP children. Facilities which do not accept FFP children need not have a primary agency represent them. They must only comply with state licensing/approval regulations.

## 1-2 RESOURCES ALLOCATED TO CHILD CARE

| | Allocation of Funds* | |
|---|---|---|
| | FY 74-75 | FY 75-76 |
| Total Social Services Allocation | 188,900,000 | 189,000,000 |
| Total Child Care Allocation | 58,523,506 | 57,682,976 |
| Percentage of Total Social Services Funds Allocated to Child Care | .31 | .305 |

The 75-76 Child Care Allocation includes day care for both normal and handicapped children.

The above figures are from the state Title XX plan. The federal ceiling dropped from $143,180,000 in FY 74-75 to $141,750,000 in FY 75-76. This was explained in the state plan as a result of decrease in state population causing a proportionate decrease in federal allocation. State and local expenditures increased from $45,720,000 in FY 74-75 to $47,250,000 in FY 75-76 to account for this difference.

Respondents noted that for FY 74-75, total social services expenditure, as opposed to the above allocation, was $185,249,000 and total child care expenditure was $53,956,000. Thus, 29% of total social services funds were expended on child care in FY 74-75.

For FY 75-76 respondents stated that the total projected social services expenditure, as opposed to allocation, is $202,429,000, and the total projected child care expenditure is $66,614,000; 33% of the total social services budget is to be expended on child care. This projected child care expenditure includes WIN, CWS and unmatched state and local funds.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Providers | Number FFP Children | Expenditures | |
|---|---|---|---|---|
| | | | FY 74-75 | FY 75-76 |
| Public Centers | 832 | 16,973 | NA | NA |
| Private Centers | | | | |
| Group Day Care Homes | -- | -- | -- | -- |
| Family Day Care Homes | 1486 | 2460 | NA | NA |
| In-home Care | | | | |
| TOTAL | 2318 | 19,433 | 53,956,000 | 66,614,000 |

## 1-4 RECORDS

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | Yes | Family and Individual | Local* |
| Standardized social service forms | Yes | Family | Local |
| Computerized records | No | | |

* Local refers to County Board of Assistance and/or local provider.

All individual client data is currently maintained at the county level. Identifiers, goals, some service information, and demographic data are listed on the State Application Form 653. Some cost information is recorded on monthly recording Forms which originate with the provider. It would be necessary at present to contact the state's 67 counties to retrieve this county-maintained data.

A new computorized system is going into effect in April 1976, which will give the state information on the individuals it is serving. This systme incorporates data required by the Federal SSRS. In general it does not replace any old forms, it is an addition to them.

At the county level, data is currently compiled to show the number of facilities being used, how many persons are eligible under Title IVA and Title XX, and attendance in comparison to contracted totals (amount of utilization). This information is aggregated at regional level and passed on to the state. It is said to be a good monitoring tool, and useful in anticipating future day care needs.

Comments were made that new SSRS requirements may pose an additional burden to providers and result in less accurate data.

## 1-5 OTHER

Statutes: The Public Child Welfare Agencies' Regulations Title 3200 (October 1969) indicates that while counties are responsible for providing public child welfare programs, the DPW has the duty to help develop these programs, including child day care, and to use federal and state funds.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

Problems: State budget procedures require accurate program estimates approximately 1 year before funds are available.

There is presently no state definition for a "unit of service." This makes the assessment of comparative costs between contracts impossible. (Other states which use POS contracts with a specific unit of service are able to determine how much they are willing to pay per child for a specific period of time.) As of March 1, 1976, there will be a unit of service defined as 4 hours or more of care, and a 1/2 unit of service, defined as less than 4 hours of care.

A shortage of facilities in many areas creates lengthy waiting lists. This is due to lack of local matching funds in some areas and a Federal ceiling that prevents general expansion of day care services across the state.

Cash flow problems create difficulties at both the regional and provider level. Some provider agencies must borrow money to pay their bills; such interest costs are not reimbursed. Also POS contracts can not be signed until the legislature appropriates funds. If there is a delay, contracts expire and new contracts can not go in to effect.

There is a real discrepancy between counties in the money available for services delivery. The System of prime contractors and multiple administrative agencies creates high administrative costs in some counties. Furthermore, within some counties day care staff are paid widely divergent salaries for similar responsibilities, and the cost of care per child also appears to differ greatly.

Some rural counties with limited FFP funds are not able to purchase slots for eligible children even if private facilities can be utilized. In other rural counties the purchase of care for eligible children leaves no slots available for non-eligible children.

POS contracts are for a 1-year duration. They can be readjusted if child enrollment is poor 90 days before the end of the contract year.

The fee schedule does not reflect financial burden placed on families who have more than one child in a fee paying situation. However, state respondents noted that, as of March 1, 1976, there will be a 1/2 fee required for each additional child in day care. This will relieve the financial burden currently in existence.

In addition the licensing process is complicated by lack of clear legal support, the involvement of the Department of Education in licensing some facilities, and confusion over what state authority there is to license non-profit facilities.

A long-standing hiring freeze makes reorganization impossible and leaves vacancies unfilled.

Strengths: The regional system provides the mechanism for utilizing day care policy on a more localized basis. How beneficial this is depends on the quality of regional leadership.

Contracted services volume has mushroomed from 5 contracts in 1969' to 72 in 1975. The contract payment system has remained relatively efficient due to excellent provider and accounting operations interaction.

Training and Technical Assistance offered by some regional staff appears to be of good qualtiy.

Also, the state noted that they are beginning to get increased funding for some program improvements in day care service. (Food) allotments for day care facilities throughout the state were recently raised from $.69 to $1.05).

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT

There was no formal needs assessment undertaken for Title XX planning. In-house data was reviewed, either by the Bureau of Service Systems Support at the state level, or by the regional staff when asked for input from the state. The emphasis was on an assessment of services availability throughout the state, rather than an assessment of needs.

There is a geographic imbalance in day care services availability in the state. Before Title XX brought a federal ceiling on spending, the state negotiated day care services contracts whenever and whereever possible. This resulted in highly populated urban areas (e.g., Philadelphia) receiving funding for many more day care services than more rural, less organized areas, where few if any contracts were written. Currently some areas have adequate full time care but no services for after school or summer situations, making employment for mothers difficult. The Bureau of Child Development does recognize the inequities of the current situation and plans to implement an equitable method to distribute day care funds to the regions. However, the state decided that, for Title XX planning, it would place emphasis on spreading available monies around to avoid cuts in existing services delivery. Thus, it only minimally examined needs in the state.

## 2-2 PROCESS

| Sources of Information | | Extent Utilized | Strategy |
|---|---|---|---|
| Documentary Sources | State: | Extensively Utilized | The Governor's Commonwealth Child Development Committee report, based on Penn. State University's series of social surveys and a day care study of Philadelphia (1975) |
| | Local: | Utilized to some extent | Day Care Management data on facility attendance, waiting lists, % of county population on Public Assistance. |
| Agency Personnel | State: | Not Utilized | |
| | Local | Utilized to some extent | Central Region day care staff met 5 times and had frequent telephone contact to arrive at a regional day care estimate of number of children to be served and Budget Request. |
| Service Providers | State: | Not Utilized | |
| | Local: | Extensively Utilized | Providers & Central Region social services staff met to exchange ideas on needs estimates. |
| Consumers | State: | Not Utilized | |
| | Local: | Utilized to some Extent | Parent groups represented on Policy Advisory Committees of each prime contractor commented on their needs. |
| General Public | | Limited Utilization | Public hearings were conducted after 1st draft of proposed Title XX Plan was published. There was one day care-related demonstration, but day care impact on public was minimal. |

## 2-3 RESULTS/UTILIZATION

For purposes of the Title XX Plan specific numerical estimates were made, by region, on the number of Basic Grant status and Income Status children to be served. The Income status group were further divided by percentage of state median income. These figures represent the number of children to be served and do not necessarily reflect the total regional need for child care.

Degree of Integration into Planning Process: Redistribution of funds among regions was small. Existing available services were maintained as before. Due to the limited funds available priorities for day care established.

These priorities are:

1.) WIN participants
2.) Employment
    a. Free service for families with gross incomes falling between 0 - 80% of the state's median income.
    b. A fee scale for families with incomes falling between 80 - 115% of the state's median.
3.) Work-related training
    a. Free service, 0 - 80%
    b. Fee scale, 80 - 115%
4.) GED (persons returning to school to receive their high school equivalency diploma).
5.) Special need of the primary caretaker
    a. Free service 0 - 80%
6.) Special need of child
    a. Free service, 0 - 80%
    b. Fee scale, 80 - 115%
7.) Socialization
    a. Free service, 0 - 80%

## 3. PLANNING

### 3-1 ORGANIZATION

On Going Planning: There was no formal, structured, statewide planning process for day care planning prior to Title XX. The prime contractors were responsible for locating all possible local funds to match federal dollars. They also determined what services could be offered, given existing space and facilities. The state allocated the service cost difference between what could exist if funded, and what local donations could provide. If state dollars were limited a negotiation process between the state and county was initiated.

Title XX Planning: XX Planning was the responsibility of the Bureau of Service Systems Support (BSSS) at the state level.

### 3-2 PLANNING PROCESS

The Title XX, planning process was a formal attempt to come to terms with the service expectations and needs that had evolved during previous years when planning was minimal.

The original allocation process mentioned above was estimated to have taken an inordinate amount of time to arrange - approximately 40% of a budget year was spent in finalizing allocations. The Title XX planning process substantially reduced this. 5 BSSS staff were assigned to coordinate input from the 4 regional offices and state level agencies. Although the regions described a process which included input from their level, one regional staff member did comment that BSSS staff appeared to want to hear certain information. The implication was that the region learned to provide what the state had decided it wanted.

Day Care was part of the overall Title XX planning process. There was no designed coordination with WIN or Title IV-B. WIN and Title IV-A had been coordinated prior to Title XX, but IV-B was not part of this process.

The proposed plan was published in a weekly state publication--The Pennsylvania Bulletin. Seven hearings across the state were held to gauge community reaction. The immediate effect on the plan seems to have been minimal, but the meetings are said to have had the effect of forcing Regional Deputy Secretaries into the realization that community opinions must be represented in future planning. Furthermore, it has brought planning into the public domain. The state expects this to result in more equitable regional allocations of funds.

## 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types and Numbers | Comparison* |
|---|---|---|---|---|
| Total # to be served | Yes | Yes | 19,868 children to be served. | Same |
| Population Categories to be Served | Yes | Yes | SSI-- 399<br>AFDC-- 8961<br>Income eligibles-below 65%(Free)-- 7880<br>65% to 80% (Free)--Unk<br>80% to 115%(FEE)-- 2628 | Unk |
| Priority Population Categories | Yes | No | WIN<br>AFDC to retain employment<br>Income Eligibles-Below 65% of state's median income to retain employment. | |
| Service Provider Types | No | No | | |
| Special Provider Attributes (eg, hours of service) | No | No | | |
| Geographic Areas | Yes | Yes | Central Region 1993<br>NE Region 3812<br>SE Region 10,253<br>Western Region 3810 | Same |
| Dollars Allocated for Child Care Service | Yes | Yes | $57,682,976 | Less |

Planned Organizational Changes: None.

## 3-4 UTILIZATION & IMPLEMENTATION

Title XX does not appear to have made a major impact on the population served. Regional allocations are basically the same, although Central Region reported an increase in the day care funds it recieved. Some organizational changes have been identified but the state has not been able to implement them due to a hiring freeze.

## 4. EVALUATION

No comprehensive statewide child care evaluations have been conducted.

There is a local day care evaluation being undertaken currently in Lackawana County, a part of the Northeast Region. A state Demonstration Project day care facility, which does not meet all the state standards, is being evaluated by a private firm contracted by the DPW. An interview instrument is being utilized to ascertain the impact of this project on enrolled children and to compare these children with those enrolled in facilities meeting all state standards. This evaluation is still in progress.

There is also a local day care evaluation currently being conducted in the Appalachian region for state child care demonstration projects funded through the Appalachian Commission. The model used for this evaluation is called EMIS (Ecological Monitoring and Information System) and respondents noted that they plan to apply this model statewide. It is a comprehensive evaluation of program, fiscal management, information dissemination, and administration. Program improvements have been made in these demostration projects on the basis of the initial results of this study.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

No state level involvement in the I & R process was identified. The regional and county offices seem to vary greatly in their I & R attempts. The Central Region does not appear to have any organized I & R service. The Northeast Region, through its Regional Licensing Officer does prepare a list of facilities which is updated every six months. This list contains information on day care centers and family day care homes, but no information is maintained on in-home providers. Information on the availability of the services is not collected.

### 5-2 PROCESS: NE REGION

| Provider Type | Systematized | Freq. of Updates | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hrs. | Cost | Avail |
| Centers | Yes. Prepared by Regional Licensing Officer. | Every 6 months | Unk | Unk | Unk | No |
| Homes | Yes. Prepared by Regional Licensing Officer | Every 6 months | Unk | Unk | Unk | No |
| In-home | No | | | | | |

In Luzerne County, in the NE Region, a local I & R program has been instituted. However, whether this is a typical or atypical procedure at the local level is not known.

Disseminating Information: A list of facilities prepared by the NE Regional Office is sent to the Child Development Council (CDC) staff and to other appropriate United Service Agency (USA) staff in Luzerne County. (The USA is a recently developed service agency which coordinates traditional social services, mental health and mental Retardation activities, Child Welfare, and aging programs, etc.)

It is unknown how much of an outreach attempt, if any, is made by the regional or county offices in the NE Region.

Assessing Client Need: A potential client would visit one of the 5 USA offices in Luzerne County to complete an application form for day care services. It is here that an initial decision is made on the appropriateness of care requested. Within 2 weeks, the client would visit the Child Development Council (CDC) office and meet with an Intake Worker. This Worker would consider the following factors:

- Need for care
- Relationship between client and child
- Hours of employment
- Transportation
- Previous separations, if any, of child from client
- Geographic preference of parent
- Medical and develop mental history
- What day care services already exist for other children in family.

The client has input throughout this process. When a slot in a facility becomes available, the client and child are asked to visit this facility to determine whether or not they wish to accept its services.

Referral and Follow-Up: Referral is made by the Intake Worker Medical examination of the child is a requirement for admission into a facility. (Note: Statewide there is poor coordination with EPSDT A child may receive a medical exam paid for by the state in order to use day care services, and then receive another one several months later through EPSDT).

After parents and child accept a facility, follow-up is provided by a Family Worker assigned to that facility. This Worker primarily concentrates on the child's adjustment. A Parent Involvement (PI) Worker concentrates on involving the parents in the operation of the facility--a high priority activity in this county.

From intake to receipt of service a client sees a USA worker, a CDC Intake Worker, and the provider. Afterward a Family Worker and a PI Worker are assigned.

It is the responsibility of the Family Worker to aid in the resolution of problems. When there are major, long-range problems the client is referred back to a USA worker.

## 5-3 RESULTS

No state estimates on the volume of information and referral requests were available.

## 6. CLIENT ELIGIBILITY

6-1 Organization and Level of Effort: Policy on client eligibility is set by the Department of Public Welfare based on that which is permissible under Title XX regulations. Eligibility for Day Care is a responsibility of the social service sector of the DPW and represents a combined effort of provider agencies and designated County Assistance Offices (CAO). Clients have the choice of going to this CAO worker or to a provider to complete an Eligibility Application Form (PW653). Providers are briefed by both county and regional staff on form completion. In addition they are given the Eligibility Determination Section of the Social Services Manual as a policy guide. Their work is checked by the designated CAO worker who actually determines eligibility. The final determination is made at the County Board of Assistance. Forms are transmitted by mail from provider to CAO worker. Both provider and client are notified of eligibility decision. Clients are also told of appeal right and usually told whether or not a slot is available at the provider site where they applied or if they have been placed on a waiting list. A fee is assigned by the CAO worker, when applicable. (Note: In some areas, such as Luzerne County, the CAO has been incorporated into a United Service Agency.)

Level of Effort: Most determinations are made within 30 days after completion of the application. This is not always true, particularly in large counties (e.g., Philadelphia) where insufficient CAO staff and failure of some providers to transmit applications immediately results in longer waiting periods.

It is estimated that a provider spends no more than 30 minutes on the completion of application forms, especially on forms for Income Maintenance clients. A CAO Worker is estimated to spend 15 minutes in checking completed applications. Eligibility Workers in the Central Region process up to 100 applications each month and the supervisory personnel suggested that increases in staff would improve the speed and efficiency of the eligibility application process.

## 6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC-Non-WIN
- SSI
- Income Eligibles: There are 3 categories of families eligible for day care services based on income:
  - families whose monthly gross income does not exceed 65% of the State median income, adjusted for family size. (This is a monthly gross income of $724 for a family of four).
  - families who have a gross monthly income that falls between 65% and 80% of the State median income, adjusted for family size (between $724 and $892 per month for a family of four) if the service is needed for any of the following reasons:
    1. To enable a wage earner to retain employment of at least 20 hours per week;
    2. To enable a parent who has specific plans to enroll in school within 30 days or to enable a parent to remain in any work training program designed to lead to specific employment;
    3. To enable a child with a special handicap to receive specialized day care services.
  - families whose monthly gross income exceeds 80% of the State median income, adjusted to family size, but does not exceed 115% of the State median income, adjusted to family size and where the special conditions noted above are met. (gross Income of $893--$1,281 per month for a family of four). In this last category a fee is charged, pro-rated according to income within this 80%-115% bracket.

Revisions Since the Passage of Title XX: none.

Materials To Ensure Uniform Interpretations: The Eligibility section of the State Social Services Manual has been completed and distributed to front-line workers.

## 6-3 PROCESS AND VOLUME

Applications: The application form (PW653) was developed by the Bureau of Service Systems Support and is completed by either the provider or the CAO worker. It is unknown, statewide, the number of child day care applications received; however one region estimated that 15%-18% of all social services applications received for day care.

Eligibility Determination and Verification: The final determination of eligibility is made by the designated CAO worker. Services may not begin until eligibility has been determined and there are no provisions for FFP funds to be used retroactively from date application was completed.

Some counties determine eligibility on the same day the application is received, while other counties may exceed 30 days to do the determination.

There is nothing required between the initial determination and the redetermination. However, at any time a redetermination may be conducted if another service is supplied to the same family. A basic data file is established at the CAO on each family receiving services.

Quality Control: Provider has the responsibility to check Medical Assistance Card of clients on Public Assistance and to note the expiration date. Income Elegible clients must provide documentation (e.g. pay stubs) and this is attached to the application. The provider also computes the fee, when applicable, for a client and records this on the application. The CAO worker checks all applications for proper completion, including a check on the fee computation.

It is the client's responsibility to notify either the provider or the CAO worker of changes that affect eligibility. The CAO worker then must recompute the fee for services, if possible, or find the client ineligible if they have now exceeded the income limitations for eligibility. There is no state or local level procedure for helping a client declared ineligible to find alternative forms of care. (Luzerne County is currently collecting data to justify its desire to supply such a service). There is no data available on the number of clients found ineligible.

Redetermination of Eligibility: Redeterminations must be done every 6 months. Policy for this has not yet been formalized; such policy is the responsibility of the Bureau of Service System Support (BSSS). Verification and Documentation procedures required initially will probably be utilized. In case of application for multiple services, only one redetermination will be necessary.

Appeals: There have been no appeals to date, but the regional staff believes that there may be some appeals lodged soon because of provider advocacy for day care.

## 6-4 PARENT FEES

A sliding fee schedule has been developed by the state for those families whose gross incomes fall between 80%-115% of the States median income. The CAO worker and the provider compute fees based on this schedule.

## 7. LICENSING

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: Technically, authorization to operate a facility rests with the state Licensing Office in the Department of Public Welfare. This office has a staff person in each region and although these regional field staff must authorize the issuance of a License or Approval, the degree to which they are involved in the licensing process seems to vary by region.

Note: The State Public Welfare Code, Articles IX and X is concerned with state responsibility in licensing. The wording of these two passages has created a problem and it is not clear at this point that the state actually has the responsibility to "license" facilities that operate under Public Social Service Auspices (e.g., public facilities). These sites are currently "approved" rather than "licensed". Much attention is directed at trying to resolve this confusion.

In Pennsylvania a license is issued to operate a private, for profit family day care home if the home will provide care for more than 4 but less than 7 children. If there will be 3 or fewer children receiving day care services, in a private, profit home, no license is required.

In Pennsylvania a Certificate of Approval is issued to non-profit family day care homes when they provide care for more than one but less than 7 children.

The Justice Department has authority to enforce approval regulations, but doubt was expressed as to how much legal support the Office would receive if it were necessary to close a facility. Much emphasis is placed on working with facilities to make necessary improvements. Legal recourse to close an approved facility clearly is not well defined. For licensed facilities, clear legal recourse is stated in the law.

Staffing: The state Licensing Office contains 3 professional staff; there is also a Licensing Officer in each of the four regions. The Licensing Office is responsible for other institutional licensing (e.g., facilities for the ageing) but it was estimated that 1/2 to 2/3 of total staff time last year was spent on day care facilities.

Other DPW staff in the regional Day Care Units are heavily committed to the licensing and re-licensing procedure. Although it varies by region, it was estimated that five to ten FTE per region are involved in licensing and related monitoring efforts.

Staff backgrounds vary greatly; there were no specific educational requirements noted by the state.

## 7-2 STANDARDS

Standards Development Process: Licensure/Approval standards were developed in 1969 by the DPW Office of Children and Youth. They were modified in 1975 to reflect changes in FIDCR.

The regulations governing day care centers and family day care homes are currently being revised by a Day Care Advisory Committee. It is hoped that this revision will hone the five sets of current regulations into one or two sets of more clearly defined regulations.

The Office of Licensing, the Bureau of Child Development, the Commonwealth Child Development Committee and the Legal Office of the Office of Children and Youth have input into this effort at revision. In addition, in 1974 each region had the responsibility to hold public meetings and get input from providers and consumers. The Department of Labor and Industry and the Department of Environmental Resources have also been asked to provide input.

Content of Standards:

Staff:Child Ratios

| Centers: (Accepting FFP children); | | State ratios when not accepting FFP children; | |
|---|---|---|---|
| Ages | Ratios | Ages | Ratios |
| 3-4 | 1:5 | 3-4 | 1:7.5 |
| 4-6 | 1:7 | 4-6 | 1:10 |
| 6-16 | 1:10 | 6-16 | 1:12.5 |
| number of children: 7 or more | | | |

Group Day Care Homes: None.

Family Day Care Homes: No more than 6 children between ages 3-16;
No more than 5 children between infancy-6;
No more than 2 children under age 2 (incl. mother's own)

| Ages | Ratios |
|---|---|
| 3-16 | 6:1 |
| infancy-6 | 1:5 |

Additional Components of Standards: Both Child Day Care Centers Subject to Licensing standards and Child Day Care Centers Under Social Service Auspices standards include the following components: Administration, staff qualifications, facilities, safety, health, nutrition, educational services, transportation, and evaluation/ monitoring.

In addition, all centers serving FFP children must have the following components: social services, parent involvement, staff training and groups to be served. (These are special provisions written in the standards.)

Family day care home standards (both private and public) include the following components: administration, facilities, health, safety, nutrition, program, staff qualifications, evaluation/monitoring and transportation. In addition, homes serving FFP children must include the following components: groups to be served, staff training, parent involvement, and social services.

There are no standards for in-home care.

Comparison of Standards and FIDCR: State standards governing the operation of day care centers and family day care homes incorporate FIDCR. An exception is made for day care centers who do not wish to accept FFP children; these centers are given permission in the standards to have lower staff/child ratios, as enumerated above.

In all other areas, the standards modified in 1975 reflect those in FIDCR.

It is difficult for the state to measure the impact of FIDCR. All day care services are arranged contractually; no rate increases due to FIDCR are apparent since the additional expenditures become absorbed in total contract costs. The state has not undertaken an assessment of changes in the total cost of day care services since the passage of Title XX.

## 7-3 SUMMARY OF LICENSING ACTIVITIES

| Service Type | License/Appr. Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Tot. N | Licensed | % Disq. | Planned | Actual |
| Public Centers (Non-Profit) | Approval | unk | 832 | unk | Annual | Annual |
| Private Centers (For Profit) | License | unk | | unk | Annual | Annual* |
| Group Day Care Homes | None | | | | | |
| Family Day Care Homes | 4-7 children: License<br>3 or less children: Approval | unk | 1486 | unk | Annual | Annual |
| In-home | None | | | | | |

* One region does allow facilities with expired licenses to operate.

Note: There is no Group Day Care Home category, however some facilities providing "group care" do not meet state standards for centers. If fire, health, and safety standards are all met, the facility can be licensed as a "Demonstration Project". The need for such a facility in the community must be shown. An example would be a facility which does not have separate activity areas for each group of 15 children, or a program which does not strictly separate children by age category.

Fees for Licenses/Approvals: none

Content of License: The License/Approval certificate for both centers and family day care homes include:

- Date of issuance
- Expiration date
- Maximum capacity
- Type of service authorized

## 7-4 LICENSING PROCESS

Areas of Investigation: Fire, health and safety requirements (including the physical characteristics of the building) are the responsibility of the Department of Labor and Industry and the Department of Environmental Resources. Education and nutritional components, and verification of medical clearances are the jurisdiction of the Child Development Unit staff. (In some regions these staff are called Field Representatives or Program Monitors).

Each facility must develop a specific program outline, listing its goals and objectives and strategies for reaching them. The program monitors assess this outline to determine whether or not its realistic. An outline is required each year at time of relicensure. After two or three years of operation the outline is not required to include as much detail.

The state furnishes copies of the standards and inspection checklists to the regions to aid in licensure. Some regions supplement this with their own forms.

Extent and Nature of Process: The procedure utilized in the licensing/approval of centers, both public and private, is as follows: The regional staff person notifies Department of Labor and Industry (L & I) and Department of Environmental Resources (DER) to make inspections for compliance with Fire, health and safety standards. Regional DPW staff in the Day Care Unit visit the facility to insure compliance with state licensing/approval requirements and to evaluate program content. These day care staff seem to have the greatest input into the process; the regional Licensing Office representative may issue a license/approval without ever visiting the site.

A regional DPW staff person from the Day Care Unit visits the home to ensure compliance with state licensure/approval requirements and to evaluate program content. This staff member has the responsibility to check for fire and sanitation problems at this time. On this Day Care representative's recommendation, the Licensing Officer issues a license or certificate of approval to the home.

Conditional Licenses: Issued for a 3-month period. The actual use of these conditional ("provisional") licenses seems to vary by Region.

Revocations: The regional licensing officer has the authority to revoke a license. However, the staff stated that legal support for such a procedure is not assured.

No revocations had been made in the past year in either of the two regions visited.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

Organizational Model: Monitoring of day care facilities is a regional level responsibility of the state DPW staff. Although some policy guidelines come from the state level, most procedural matters are determined at the regional offices.

Both the Central and Northeast Regions used the same staff to license and monitor; it was noted, however, that the Western Region has separate staff for each.

Monitoring of day care centers is the responsibility of the regional DPW Day Care Unit staff. They are monitoring for compliance with license/approval standards and, in the case of centers receiving FFP children, also with Title XX compliance (i.e., special attention is given to staff/child ratios).

In both regions visited the major responsibility for the monitoring of Title XX funded family day care homes rests with the primary agency under which they operate. The monitoring is concerned with both license/approval compliance and FIDCR compliance. Non-Title XX funded family day care homes, which are not required to be a part of a primary agency, are monitored for license or approval compliance by the regional DPW Day Care Unit staff. This staff also tries to do random monitoring of the Title XX homes when staff time permits.

Level of Effort: The number and job titles of staff involved in monitoring efforts vary from region to region. Both Central and Northeast Regions employed 5-10 staff for the licensing/monitoring function. Title XX funded facilities appear to receive adequate attention, especially in the annual in-depth review associated with relicensing. This review involves several hours at the site and a detailed written report of observations and recommendations, prepared for the primary agency (e.g., private provider agency, local school board). This process takes approximately one week per site. Some counties are able to provide such a report on non-Title XX facilities also.

## 8-2 SUMMARY OF MONITORING ACTIVITIES

| Provider Type | By whom monitored | % Monitored | Frequency | Av. time Per Unit |
|---|---|---|---|---|
| Centers | Regional DPW Day Care Unit Staff | 100% | 2 to 4 times a year | Varies by region; minimum or 2 hours. |
| FDCH<br>Non Title XX | Regional DPW Day Care Unit | 100% | twice/year if staff time permits | 1 hour or more |
| Title XX | Primary Agency Staff | 100% | 2 x/year | 1 hour |
| | Regional DPW Day Care Unit | unk | random monitoring at least once a year if possible | 1 hour |

## 8-3 PROCESS

Extent of Systematization: State regulations and monitoring guides are circulated to the appropriate regional staff. Additional regional forms also exist. These materials are in the form of both a check list and a narrative. On each visit by regional staff a brief narrative is written and copies are forwarded to the Regional Licensing Officer at the time of relicensure. Relevant monitoring information is forwarded to the provider agency administrator and the annual in-depth report is passed on to the primary agency.

Emphasis is on surprise visits, with the exception of the annual monitoring visit associated with re-licensure. (This visit seems to serve both a licensing and a monitoring function.) Most visits are conducted to comply with state monitoring policy requirements.

Dominant Strategy: Except for annual relicensure visit, monitoring visits are unscheduled.

Practice and Policies: Most policy governing the frequency and content of the monitoring effort originates at the state level. Two regions visited appeared to conform to state policy in monitoring, at least to the degree that staff size permitted. ( The NE region has a vacancy for one of its two monitor positions responsible for non-XX facilities and a hiring freeze prevents additional staff placement).

## 8-4 RESULTS

No estimates on the number of providers out of compliance were available. Child/staff ratios were seen as the area causing most non-compliance in centers, and an additional problem area was staff qualifications. Until recently, training for day care staff was not always available; therefore qualification requirements could not be realistically enforced. Training does exist now through the "Careers with Children" Program at various community colleges in the northeastern region and day care staff can take the appropriate courses.

Monitoring efforts revealed overenrollment in private, profit family day care homes to be a real problem, remedied only by more vigorous enforcement of regulations.

Staff do make visits to follow-up on non-compliance. Great emphasis is placed on corrective action; the state almost never revokes a license.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: There is no day care training effort organized at the state level. The Comptroller assigned to the DPW did conduct training sessions in accounting and billing techniques in the past year, however no money was specifically budgeted for this activity.

A community college curriculum entitled "Careers With Children", which consists of child development courses, is available in the northeastern region. Day care providers and DPW staff may participate in these with some or all of the cost absorbed by the state, depending on the salary level of the person enrolling.

Local: Only one of the four local regions, Central Region, has assigned the training function to a specific staff member. This local day care specialist devotes 100% of work time to this area and spends over 50% of that time giving on-site training to staff in local offices and county agencies, and to providers at their facilities. No budget allocation was given specifically for this training effort.

Training is limited to child development program areas and materials developed by the day care specialist in Central Region are utilized by that region to facilitate training. However budget constraints limit the amount of materials disseminated.

There is no training in administrative and budget techniques conducted by Central Region.

## 9-2 ACTIVITIES

### Staff Development

| To Whom | By Whom | Description | Amt. |
|---|---|---|---|
| Regional DPW Staff | Regional DPW Supervisors | To all 17 regional Field Representatives who monitor providers, in areas of child development, use of available materials and local community resources. | 12 days/year |
| | | Direct visit or telephone call to suggest program content changes. | daily |
| | | Guidance in the use of a locally developed training manual to record observations on day care facilities, child development problems, and suggestions to providers. | Unknown |
| Local County Agency Staff | Regional DPW Staff | Workshop for 5 County Child Welfare Agency caseworkers to instruct them in child development principles in order to train county staff in 24 counties. | 2 days |

### Provider Training and Assistance

| To Whom | By Whom | Description | Amt. |
|---|---|---|---|
| Prime Contractors; day care providers | State DPW Comptroller | Workshops to introduce new accounting and billing techniques. | Unknown |
| Providers-centers | Local staff | 400 staff at 60 centers, in answer to expressed staff needs on child development educational approaches | 40 meetings per year |
| | | technical assistance via visit or telephone contact | as requested |
| family day care homes | Local staff | 120 providers participate; covers child development materials, films, program aids | 10 sessions/ year |
| | | written training material sent to all family day care providers | periodically |
| | | technical assistance via telephone | as requested |

## 9-3 PROCESS

The methods used to identify training and technical assistance needs in Central Region include:

1. Requests for training from local staff monitors, child welfare caseworkers, and providers
2. Reports from local staff who monitor facilities' programs.
3. Extensive provider inquiries after training sessions.
4. Annual review of all providers.

Local program monitors were identified as the group which needs continuous training in order to most effectively improve the program content of the day care facilities they monitor and annually review. It was felt that this training could be more effective if they could also receive training in administrative techniques and be evaluated by the local trainer.

It was also suggested that a budget allotment for child development training materials is necessary, in order to facilitate distribution. These materials have been requested by all of the centers which received training. No budget funds have yet been allocated for training materials.

## 9-4 RESULTS

At the local level, both line staff and providers have profited from a better understanding of the child development process and training in the observation of developmental change. Staff interaction on program content appears to be increasingly productive, and requests for training have increased.

Providers, all of whom were obliged to reduce consultant training budgets by 50% in the past year, rely on local in-house training more heavily and are requesting more sessions each month.

## 9-5 PRINTED MATERIALS

A series of Human Development film strips, with casette narration, covering child development (biological, psychological, and social) areas is available for use in staff development and in provider training. The Central Region has child development material which it sends to family day care providers, and the NE Region issues a newsletter periodically on child development methods.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Structure:

State - The fiscal function is performed by two separate units at the Department of Public Welfare: the comptroller, assigned to the DPW by the Governor's Office of Administration, and the Bureau of Fiscal Management. Both perform a centralized function for all social services; there is no separate child care unit. A third unit, Procurement Management Service, handles the initial approval of purchase of service contract documents.

Local - At the regional offices of the DPW, the fiscal function is performed by the Fiscal Management Unit.

Function: All purchase of service contracts for day care are negotiated at the regional level. The payment procedure involves the regional fiscal office as well as the state level DPW comptroller's office, both of which review invoices for accuracy and monitor all monthly payments. The state fiscal management unit prepares all program yearly budget requests, receives the monitering reports, and manages all federal matching funds allocations. At the regional level, there is more interaction between fiscal and program staff than at the state level, because the regional staff are responsible for direct contract management.

### 10-2 FISCAL MATERIALS

The full complement of required fiscal materials have been developed and are in regular use, with the exception of audit report forms, which are not standardized and vary from region to region and attendance records which are not yet in use for fiscal purposes.

The Account Structure Manual, developed by the Controller with provider input, was rated excellent and has improved the provider billing process.

Although most materials were given a high rating, problems do exist with the rate and fee schedules as well as with non-standardized provisions in contracts which make fiscal control difficult.

## 10-3 INCOME SOURCES

| Source | % FY 74-75 | FY 75-76 |
|---|---|---|
| Title XX/IV-A | (64.8%) | 57,682,976 |
| WIN | (1.0%) | 854,000 |
| CWS | (.2%) | 149,958 |
| Other: State and Local Unmatched Funds | (9%) | 7,927,066 |
| TOTAL | | 66,614,000 |

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | FY 74-75 Expenditures |
|---|---|
| Purchase of Service - Contracted Facilities | 51,990,000 |
| Vendor-Paid Facilities | --- |
| Direct Provision/Operation | --- |
| Client Purchase, with social service reimbursement. | --- |
| Client Purchase, with income maintenance funds (for WIN day care) | 586,000 |
| Protective day care provided through the 67 child Welfare Agencies | 1,380,000 |
| TOTAL | 53,956,000 |

Description Of Funding Methods/Processes:

A. Purchase of Service: All services are purchased from day care centers and family day care homes; no records were available on in-home care purchased

Contract management is a function of each of the 4 regional DPW offices. The Prime Contractor is a county-level governmental unit, usually a County Board of Commissioners, county school district, or another county-wide administrative unit. The Prime Contractor negotiates a sub-contract with a Primary Agency, a required intermediate body for all day care providers serving publicly funded children. This Primary Agency is responsible for fiscal and program administration of its member providers, acting as a liaison between the county, the Prime Contractor, and the provider. Both centers and family day care homes can be a part of the same Primary Agency. The regional DPW office is responsible for monitoring their members. The Contract Review Unit of the Comptroller's Office assigned to the DPW reviews all contract narrative provisions and assesses the accuracy of contract budgets. This unit performs quality control checks on all invoices monthly. Yearly audits are required of all private contracts in excess of $100,000.

Overpayments are adjusted by requesting the contractor to repay the owed amount or accept a reduction in monthly payments in the next succeeding contract, if it is renewed. The regional fiscal officer maintains records on the amount expended each month from the current contract of every provider in the region. Thus, the region in knowledgeable about the total social service funds expended each month in the region and the amount that remains for the fiscal year. The regional staff noted that this fiscal monitoring of contracts procedure requires a good rapport between the regional office and the comptroller's office, where payment to providers is actually made. This rapport was seen as an asset in the state fiscal network.

The monitoring system just described has only been in operation four months and is current by undergoing review in each region. The regional reviews will be the basis for revision of the system by July 1, 1976.

Criticisms of the monitoring system include the following:

> All contracts must correspond to the federal fiscal year. Thus a contract which spans a calendar year must be treated as two separate contracts, split by fiscal year end dates. This creates monitoring as well as fiscal problems.
>
> Verification of the monitoring documents takes one week, although staff hopes to reduce this to three days.
>
> Regional offices are requested to make a double entry of all invoices-before and after payment. The method is cumbersome, as payment takes more than **two** weeks. It was suggested that invoices be paid quarterly to reduce the time spent for bookkeeping.

Fiscal staff at state and regional offices believe the new provider billing procedure outlined in the comptroller's accounting manual has greatly improved their payment capability. However, the in-house payment procedure appears to remain cumbersome at both levels due to increased Title XX reporting requirements. Many staff felt that reporting could be reduced, and some suggested that quarterly reporting would cut staff time by 66% in day care fiscal accounting.

Development of the monitoring system for all agency transactions took two months, and implementation has taken four months.

The contract procedure is due to be improved by March 1, 1976, as the result of a Task Force composed of staff from the State Office of Management and DPW fiscal and program staff.

B. Direct Provision: none

C. Client-Purchase: Client purchase with income maintenance funds accounted for 1% of the total child day care cost in FY 74-75. ($586,000 was expended in FY 74-75 for WIN day care from income maintenance funds.)

10-5 RATE ESTABLISHMENT

The DPW Bureau of Child Development is attempting to implement a revised contracting procedure which defines units of service. No state standard is now operational. Presently, in all contracts, the number of slots per year are specified after consultation between the provider and the state regional day care director.

| Provider Type | Rates | | |
|---|---|---|---|
| | Bases | Average* | Range* |
| Centers | Proposed by DPW Bureau of Child Division, not official | $75.66/week | $62-$90 maximum |
| Family Day Care Homes | Proposed by DPW Bureau of Child Division, not official | $35/week maximum | N/A |

* The maximum rates are valid for FY 75-76, and may be increased by an 8% inflationary factor for this fiscal year. These rates have not been published officially.

10-6 In-home Care: No state or federal support for in-home care was reported

## 10-7 INCOME ELIGIBLES AND PARENT FEES

Income Eligibles: Families whose gross monthly income does not exceed 65% of the state median income, adjusted for family size, are eligible for free day care services.

Families whose gross monthly incomes falls between 65% and 80% of the state median income are entitled to free day care services if they have work or training-related reasons for needing the service, or if they have children with a defined handicap needing day care services.

Parent Fees: Families whose gross monthly income exceeds 80%, but does not exceed 115% of the states median income, adjusted f for family size, are entitled to day care services if they meet the special work training or handicap conditions noted above. This income group must pay a fee for day care, computed by the state and dependent on the amount of actual income within the eligible range.

There are some problems with the sliding fee scale, as noted by state staff. It is hoped that these can be resolved after the first quarter monitoring reports are analyzed. More fee-paying parents appear to want day care than was thought when space allocations for this group were considered in current day care contracts.

10-8 Donations: Donations are called "unrestricted funds". They are contributed by third parties to local public bodies and inturn donated to the state as "local revenue." Total local revenue expended from the state General Fund for day care in FY 74-75 (as of 6/30/75) was 1,104,805.92 or less than 3%.

# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The designated state agency in Rhode Island to plan and administer Title XX is the Department of Social and Rehabilitative Services. Within this department is the Division of Community Services, which houses the office of Family and Children Services. Child Welfare Services and Day Care Services are within the jurisdiction of Family and Children Services. Family and Children Services is responsible for fiscal management, planning, program development, evaluation, and information and referral. The Day Care Services Unit is specifically concerned with eligibility determination, monitoring, and training and technical assistance. Licensing/certification/approval functions are the domain of the Child Welfare Services Unit.

Also within the Department of Social and Rehabilitative Services (SRS) is the Division of Management Services, which is more strictly concerned with overall fiscal management of the Department. There is, in this Division of Management Services, a Business Manager who serves as a liaison between the Division of Management Services, with its fiscal concerns, and the office of Family and Children Services, with its primarily program concerns.

The following persons, by type of service, are involved in child care:

Community Services: Estimated 5% of the Assistant Director's time is spent in broad issues of child care.

Family and Children Services: Estimated 10% of staff, including 2 FTE in fiscal area, concerned with child care.

Child Welfare Services: 7 FTE in child care licensing.

There are no other public or private agencies directly involved in the management of child care.

## 1-2 RESOURCES ALLOCATED TO CHILD CARE

Allocation of Funds

| | FY 74-75 | FY 75-76 |
|---|---|---|
| Total Social Services Allocation | unknown | 11,834,306 |
| Total Child Care Allocation | 1,516,811 | 1,890,126 |
| Percentage of Total Social Services Funds Allocated to Child Care | unknown | 16% |

The 75-76 Child Care allocation includes normal day care only and counseling.

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The Rhode Island site visit was conducted in November 1975. Interviews were held with nine different officals at the state office, and with five staff members at the local office in Providence.

Proportion of total social service staff time allocated to child care is not available.

Other Funding Sources: A grant from the Department of Education for training family day care providers (The state has developed a 10-part T.V. program for this purpose) in the amount of $39,000. (The Department of Education has currently allocated $48,000 for training in FY '75-76).

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Providers | Number FFP children | Expenditures | |
|---|---|---|---|---|
| | | | FY 74-75 | FY 75-76 |
| Public Centers | 0 | | | |
| Private Centers | 32 | 533 | $ 677,072 | $ 947,647 |
| Group Day Care Homes | 0 | | | |
| Family Day Care Homes | 475 | 1,100** | 521,151 | 525,000 |
| In-home Care | | | 124,637 | 134,256 |
| TOTAL | 507 | 1,633 | $1,322,860 | $1,606,903* |

*Projected expenditures for FY 75-76 is $282,223, lower than the amount allocated.

**Monthly figure: 75% of these 1,100 FFP children are in family day care homes.

## 1-4 RECORDS

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | yes | Family | local |
| Standardized social service forms | yes | Family | state |
| Computerized records | yes | Family and Individual | state |

Extent of Data: Standardized social service and computer records are complete with information pertaining to client identifiers, goal data, demographic descriptors, service delivery, service cost, and eligibility status. Service plan information is only available in the Narrative Social Service Records.

Data Aggregation: Individual client data is collected at the local level, compiled at the state level (generates fiscal and program data) and is retained on an historical basis. However, currently information is being fed into the computer, but no reports have been generated to date. It is expected to be generating reports by January 1976. The problem associated with the Social Service Reporting Requirement are all staff-related. Lack of staff and money to hire new staff.

## 1-5 STATUTES

There are no statutes or ordinances, other than licensing regulations, which govern the operation of child care services in Rhode Island.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

Problems: Staff and funding.

Strengths: There is a strong training component for family day care. Also a state-wide administration is seen as a strength in R.I. because it reduces costs and ensures better control over service delivery.

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: SRS had primary responsibility for Title XX planning. They formed the Executive Policy Task Force which included community persons, United Way, Catholic Charities, and private citizens, in addition to the SRS staff. They held public meetings from the Spring 1975 to the Fall 1975.

There was no needs assessment study conducted specifically for Title XX planning. The results of a limited needs assessment undertaken by the Council of Community Services (1970) and the state Day Care Commission (1971) were reviewed. However, neither were in-depth studies.

Level of Effort: The Task Force met every week or every two weeks from March - September 1975. A special sub-committee of the Task Force was set up to look at child care specifically. The overall effort of the Executive Policy Task Force was inclusive of all social services.

### 2-2 PROCESS

Scope: Title XX needs assessment requirements were fulfilled through a review of in-house statistics, aggregated community data, and feedback in public meetings.

The review of material by the Executive Policy Task Force was inclusive of all social services needs, for all clients, and the availability of services to meet these needs.

PROCESS

| Sources of Information | Extent Utilized | Strategy |
|---|---|---|
| Documentary Sources | Utilized to Some Extent | Because Title XX plan implementation had to be carried out before federal regulations could be received and assimilated, prior plans and reports and in-house records were reviewed. This statistical data did generate some numerical estimates |
| Agency Personnel | Extensively Utilized | Director of SRS, Ass't. Director of Community Services, Administrator of Family & Children Services, Ass't Administrator of Family & Children Services, and Chief, Day Care Services - all met in committee meetings to review needs and services availability. |
| Community Agencies | Extensively Utilized | A Community Advisory Committee, representing diversified community interests in social services, met with the Task Force to provide community input. |
| Service Providers | Utilized to some extent | Over 200 representatives of centers and homes attended meetings of Task Force. |
| Consumers and General Public | Utilized to some Extent | Through public notices in newspapers, 200-300 persons, including both consumers and general public, responded and attended the public meetings. |

## 2-3 RESULTS/UTILIZATION

Specific numerical results were generated in relation to client type, ages of children, hours of care needed, and types of service needed/preferred.

Degree of integration into planning process: The state chose to maintain the same services, basically to the same clients, as in previous years. They felt the state's client population did not reflect any great changes from year to year. The target number of children to be served remained the same, although the population to be served was slightly smaller as a result of Title XX planning, since some persons were dropped from eligible category because of income excess. (Lower ceiling was established.) The particular population groupings to be served are: current AFDC recipients and SSI recipients, and those eligible by income (family of 4 must receive a yearly gross income of less than $7,200 - 50% of state's median income for a family of 4).

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

On-going Planning: Within the SRS, in the Division of Management Services, is the Standards and Planning Unit which is responsible for management and fiscal planning for all social services. It has a staff of 56 FTE for this task. Substantive planning is conducted by the individual social service component (e.g., Day Care Services, Child Welfare Services) in addition.

Title XX Planning: Was undertaken by the Executive Policy Task Force in committee and sub-committee meetings, meeting regularly for 7 months. The SRS Planning Unit, and Day Care Services and Family & Children Services administrative staff met frequently to re-assess needs and project future needs.

Staffing: No estimate of number of staff involved in the planning effort could be given.

### 3-2 PLANNING PROCESS

There was no special effort directed toward child care planning, apart from other aspects of Title XX planning. There was no Title IV-B funding for child day care. The WIN staff assessed their needs and projected needs and this was incorporated into Title XX planning.

The Title XX planning depended more upon community involvement, inter-agency participation, and more time and effort overall, than in any previous planning situation.

Following publication of the Title XX plan, there was a great amount of feedback through the sub-committees that were set up. The general response from the community was in favor of less stringent client eligibility requirements and the institution of a sliding fee scale to enable low-income people to receive services. There was also community support for increased rates to family day care homes and day care centers.

## 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types and Numbers | Comparison |
|---|---|---|---|---|
| Total number to be served | yes | yes | 2060 | more |
| Population Categories to be served | yes | no | Current AFDC participants and former AFDC participants, if income eligible | more |
| Priority Population Categories | yes | yes | AFDC-1730;WIN-378 | same |
| Service Provider Types | yes | yes | 600 centers<br>983 - FDC<br>147 - FDC p/t | same |
| Special Provider attributes (e.g., hrs. of service) | yes | no | Ages of children served; hrs. of service provided (portion of 24-hr. day) | same |
| Geographic Areas | yes | no | statewide | same |
| Dollars Allocated for Child Care Service | yes | yes | Estimated: $1,890,126 | more |

Planned Organizational Changes: None.

## 3-4 UTILIZATION/IMPLEMENTATION

As a result of Title XX planning, income eligibility was reviewed (by Day Care Services staff). The plans for child care services are basically the same as last year, since the state is budgeted for the same amount as last year. There were no organizational changes recommended as a result of planning efforts.

## 4. EVALUATION

There have been no comprehensive evaluations which pertain to child care in the past 3-5 years.

The current 10-part training program for family day care providers is in the process of being evaluated by a doctoral candidate from the University of Rhode Island, but this data is still being collected.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

The Rhode Island Council of Community Services is a 24-hour I & R system contracted by the SRS for all social services.

SAU and WIN staff, Family Services and Adult Services social workers provide information and referral also, as requested.

There is one local information and referral service in the city of Providence, at the Day Care Services Unit, which covers all social services.

### 5-2 PROCESS

Assembling Information:

| Provider Type | Systematized | Freq. of Updates | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hrs. | Cost | Avail. |
| Centers | yes | Sporadic | yes | yes | yes | yes |
| Homes | yes | Sporadic | yes | yes | yes | yes |
| In-home | yes | Sporadic | yes | yes | yes | yes |

Information is assembled by Day Care Services Unit (part of Family Services) and Licensing Unit (part of Child Welfare Services).

Provider must supply updates but social workers are very knowledgeable about current facilities.

Disseminating Information: Information is obtained from Day Care Services Unit through a referral form, or telephone request from persons involved in making referrals.

AFDC participants have access to a social worker who imparts information to them. The Council of Community Services publicizes their telephone number and the fact that they have information available to the community.

There are also outreach activities for providers by the SRS. This attempt is through pamphlets and booklets sent to prospective providers and/or clients.

Assessing Client Need: Both the Income Maintenance worker and the Day Care social worker assess needs for day care.

The child's age, family composition, child's personality and/or developmental level, hours of care and location are factors which help decide what type of care is most suitable.

Parents are free to participate in choosing care for the child. They may choose any licensed or approved provider, and are usually presented with a choice of 3 or more homes or centers locally when it is possible and the decision is left up to them.

Referral and Follow-up: There is no provision for a medical examination for the child who begins day care. This is usually done before the child starts day care since most of these children are from AFDC families.

After assessment process is complete, the worker gives the parent the addresses of several providers. The parent visits each facility and reports back to the worker on the choice made. The worker then visits the provider to assess the placement and supply information (e.g., billing procedures) to the provider. This worker also ascertains that the provider is licensed.

From the time the client enters the system to the time the client receives a service, the client might come in contact with the Council of Community Services, and Income Maintenance worker, a Day Care Services worker, and/or a licensing worker (Child Welfare Services).

After services are secured, there is a follow-up. There is a quarterly visit from Day Care Services to the provider, at which time the Day Care social worker evaluates and monitors the program for the express purpose of deciding whether to recommend license renewal.

## 5-3 RESULTS

Time period: Last 12-week period.

| | Statewide |
|---|---|
| Number clients seeking child care referral | 646 |
| Number actively assisted | 311 |
| Number securing their own services | unknown |
| Number unable to secure services | 335 |

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Division of Family and Children's Services in the SRS establishes policies and regulations which govern eligibility.

There are standardized application forms secured by the Day Care social worker, who makes the actual determination of eligibility.

Level of Effort: There were 416 full-day equivalents spent in processing the 2000-2500 applications for child care services received by the state last year. The state does not know the total number of social service applications received yet (since this is a new Title XX requirement).

### 6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN (priority)
- AFDC-non-WIN
- Income eligibles

Income eligibles must have once been part of AFDC and had child care previously. These families must apply for continued child care services within one month of leaving AFDC.

Income eligibles are defined as those families receiving a yearly gross income not exceeding 54% of state's median income ($7,200 for a family of 4, adjusted for family size).

There is also specialized day care provided in cases of mental or emotional illness of child or family.

An additional qualification for eligibility is that client must be employed or in training and need child care services at least 6 hours a week. (With exception of specialized day care needs described above).

Revisions Since the Passage of Title XX: Since the passage of Title XX, the definition of facilities has been made more specific, the description of training and payment services and the description of rates and responsibility has been made clearer. Eligibility requirements have also been clarified.

Materials to Ensure Uniform Interpretations: There are guides available to front-line workers to aid in interpretation of the state policies and regulations.

## 6-3 PROCESS AND VOLUME

Applications: Total Number: 2000-2500. There are standardized applications, developed by the Standards and Planning Unit of the SRS, and they cover income eligibility factors and include identifying information. The Day Care Services social worker is responsible for securing completed applications.

Eligibility Determination: Total Eligible: 90-95%; Time Lapse: less than one week. The Day Care Services social worker makes the determination. After referral is received from Income Maintenance worker and licensed or approved provider is secured, client may start receiving service.

Quality Control: When client is determined eligible the Income Maintenance worker validates this and notifies the day care social worker. When the computerized system is functioning properly it is programmed to match the day care case load and the AFDC case load, to ensure quality control.

When WIN or Income Maintenance social worker finds a change in eligibility status, he/she notifies the Day Care Services Unit. Income Maintenance worker has the responsibility of notifying a client if they've become ineligible, and informing them of the right to a fair hearing.

Re-Determination Frequency: Re-determinations of eligibility are done quarterly. There will be a computerized notification of who has to be re-determined when the computerized system begins to function as anticipated, and this should occur within 1-2 months. Upon receipt of this notification, the social worker follows up.

Appeals: Total Number: 3-4 in past two years.

## 6-4 PARENT FEES

There is no fee schedule. Families with gross annual incomes exceeding 54% of the state's median income must pay the cost of day care services in the private sector.

## 7. LICENSING

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The SRS is the primary agency for licensing private centers and family day care homes and approving in-home care. The Child Welfare Services division of the SRS has all licensing and approval functions, through its Licensing Unit, and it has the power and authority to close down a program - although this has never happened.

Staffing: There are 12 licensing workers who, aside from actual licensing responsibilities, monitor all centers and family day care homes. (There are no group day care or public center facilities in the state.)

These licensing workers must take a civil service exam for the job. A B.A. degree is required, preferably with a major in child development, social work, or early education, but other majors are often acceptable.

If a licensing worker recommends to the Licensing Unit that a license be denied, a conference is called with the provider to try and help improve the program or physical plan in order to qualify for a license. It is also possible for the Unit to close down a facility, but it has never happened.

### 7-2 STANDARDS

Standards Development Process: State standards for in-home care were written in 1969 and never updated; standards for family day care homes and private centers were updated in 1970. The Ad Hoc Day Care Committee and program sub-committees formulated and revised these minimum licensing standards (1970), with citizen participation. Experts on various aspects of health and safety, etc., were consulted, and there was input sought from licensing workers, providers, and consumers.

Content of Standards:

Staff-Child Ratios

*Centers: For children 3-14 years old.

| Ages | Ratios |
|---|---|
| 3 years | 5:1 |
| 4 years | 7:1 |
| 5 years | 12:1 |

No ratios given for care of children above age 5. *In addition to these ratios, there is one full-time head teacher.

Family Day Care Homes: For infants - 16 years
Usually not exceeding 4 children per home: ratio is 4:1.
Special licenses may be given to care for up to 7 children in certain circumstances: ratio is 7:1.
No home shall be licensed for more than 2 children under 2 years of age or more than 4 children under 6 years.

Additional Components of Standards: Standards for center care include the following components: administration, facilities, health, safety, nutrition, evaluation/monitoring, transportation, discipline, educational services, social services, and staff qualifications.

Standards for family day care homes include all of the components addressed in the center care standards.

There are standards for in-home care in the state, written in 1969.

Comparison of Standards and FIDCR: FIDCR is more rigid in the staff-child ratios it requires for center care, although the state does have similar staff-child ratios for family day care. The state feels FIDCR is usually general enough for the state to have similar standards. In cases where state has less rigid requirements than FIDCR, the state deemed their standards to be adequate for the state. The state's fire and health standards are more rigid than FIDCR, because the state considers this to be most important for quality service provision. Rhode Island is planning to protest to Congress because it feels its state standards are sufficient, and FIDCR is not appropriate or useful to the state.

Providers are seen to be willing to comply with FIDCR but often are unable to comply. There is no state authority to waive or enforce FIDCR standards.

From the point of view of the state personnel, providers have the most problems in meeting licensing requirements in the following areas:

For family day care providers: lack of motivation (too much red tape)
medical (X-ray) requirement
fire regulations

For center facilities: Building codes; safety codes
There are no FIDCR components directly provided or secured by the SRS. Most clients are AFDC participants, however, and receive medical aid as part of the package.

## 7-3 SUMMARY OF ACTIVITIES

| Service Type | Sanction Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total # | % Lic. | % Disq. | Planned | Actual |
| Public Centers | -- | | | | | |
| Private Centers | License | 32 | 100% | | annual | every 14-15 months |
| Group Day Care Homes | -- | | | | | |
| Family Day Care Homes | License | 425 | 100% | | annual | |
| In-home | Approval | 50 | 100% | | annual | |

55% of all types "dropped out." 5% of all types were "screened out."

*If child is 3 years old or older and receiving less than 4 hours/day of care, a license is not required for the facility, only "approval" by Department of Education. (More than 4 hours/day of care - license required.) These 32 full-time centers do not reflect Department of Education "approved" centers.

Fees for Licenses: none.

Content of License: Family day care home licenses include:

- Date of issue
- period for which valid (and/or expiration date)
- maximum number of children to be served
- age range of children
- category of license and limitations

Center licenses include:

- date of issue
- expiration date
- maximum number of children to be served
- age range of children
- limitations

An approval process is utilized for in-home care. It follows the same procedures as licensing except: The social worker is responsible for safety of home. In-home care doesn't require the regulation and inspection in building, fire, and health areas. Social worker recommends approval based on observation and this must be reviewed by the state Licensing Unit.

## 7-4 LICENSING PROCESS

Areas of Investigation: In a licensing study for family day care homes, the following categories are covered:

- physical characteristics of the home
- provider characteristics
- provisions for nutritional component
- verification that children have had medical clearances
- provisions for handling sick children, accidents, etc.

In a licensing study for centers, the following categories are covered:

- physical characteristics of the facility
- staff characteristics
- the educational component
- the nutritional component
- the health component
- specific verification that children have had medical clearances
- the extent of parent involvement

There is no group day care in the state.

Extent and Nature of Process: Licensing studies on family day care homes are conducted on request. Since newspapers will only advertise a licensed home, providers know they must have a license and want one. One visit is usually required for this licensing study. There is usually a 1-2 month time lapse between study and receipt of a license. The delays are usually due to lack of references, lack of chest X-ray, medical information (the provider must collect this). After the initial visit, when approval is usually given, a provider may start to serve children, pending submission of materials. All known providers have undergone an initial licensing study. There is a one-year license for family day care homes, and monitoring and recommendation from the Day Care social worker is a prerequisite for reissuance of a license.

Licensing studies on centers are conducted on request. Generally takes numerous visits (as many as 15) to complete a study. The time lapse between study and issuance is difficult to ascertain, because Rhode Island has not licensed more than 3 new centers in the last 3 years. Factors which generally impede the licensing process are: fire and building inspections, and compliance with regulations.

Conditional Licenses: There is a 6-month conditional license (termed "provisional" by the state) which can be issued if all health requirements are met. These are issued only to centers. A Child Development specialist visits a center with a provisional license within the 6-month period and makes sure corrections are completed before a permanent license is issued. The provisional license lapses after 6 months, and the facility would be operating illegally if it hadn't complied by that time.

Only one conditional license was issued last year and that facility later received a license.

Revocations: If a complaint has been made against a provider, this is investigated. Technical assistance is offered to the provider in question. If corrections are not made, no more children would be sent there. The state has never revoked a license.

Family day care home standards make no mention of a "fair hearing" for providers who have been denied a license or closed down. However, providers must be notified on the basis of the state's "Administrative Procedures Act" if their license has been revoked.

In center standards there is a definition of fair hearing. Refusal to renew entitles one to a fair hearing.

Over the past two years 3 or 4 providers (2 centers, 1 or 2 homes) have appealed when their licenses were denied. They all ultimately received licenses.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

Organizational Model: The Licensing Unit and the Day Care Unit, part of the Division of Family and Children Services of the SRS, is responsible for monitoring as well as licensing. This is only a state level function in Rhode Island since the local staff is part of the state Day Care Services Unit or the state Licensing Unit.

Level of Effort: There are 12 persons with monitoring functions. These persons are the social work staff of both licensing and Day Care Services.

In the past year 132 centers were monitored once. 425 day care homes and 50 in-home facilities were monitored four times. This represents 100% of the licensed facilities.

### 8-2 MONITORING ACTIVITIES

| Provider Type | By Whom Monitored | Percent Monitored | | | Fre-quency | Av. Time Per Unit |
|---|---|---|---|---|---|---|
| | | Of All Sanctioned | Of All Serving FFP's | Of All Contrac-ted | | |
| Public Centers | -- | | | | | |
| Private Centers | Licensing Workers | 100% | | | annually | 8 hrs. |
| Group Day Care Homes | -- | | | | | |
| Family Day Care Homes | Social workers from Day Care Services Unit | 100% | | | quarter. | 1 hr. |
| In-Home | Social workers from Day Care Services Unit | 100% | | | quarter. | 1 hr. |

### 8-3 PROCESS

Areas Investigated: There is a re-licensing form, developed by the Child Welfare Services Licensing Unit, for use in monitoring centers. Monitoring is done within the framework of re-licensing concerns.

There is no standardized instrument for monitoring day care homes and in-home care facilities. There is in-house training to develop skills in worker observation. The physical plant, the program of the provider (i.e., health, education, and safety areas), and the attitudes of the provider are assessed.

Extent of Systematization: The basic strategies used in monitoring child care are telephone calls, mailed forms, and scheduled site visits. The scheduled visits are the most dominant strategy. They are made on a regular basis and in response to problems which are brought to the agency's attention.

Written reports are prepared on each center visit by the Licensing worker. There are no written reports in response to visits made by the Day Care worker, except in exceptional cases. (These are the visits to family day care homes, and in-home providers).

Extent to Which Practice Corresponds with Policies: Practice corresponds with policies, since the policies are governed by Title XX requirements. Scheduled visits are made quarterly or yearly, and the content of the monitoring effort conforms to Title XX requirements. There are no other policy provisions, beyond Title XX requirements.

## 8-4 RESULTS

Estimated Proportion Out of Compliance: None.

Areas of Compliance Difficulty: Fire and building code compliance is difficult for both centers and homes. Health requirements are an additional problem for in-home care and family day care providers.

Nature of Follow-Up: The provider is informed about areas of non-compliance. A target date is set for achieving compliance. A follow-up visit is then made.

Technical assistance is given to a center sometimes, as a result of the monitoring effort. The Child Development Specialist, and/or the Licensing worker hold consultations with the provider for this purpose. In family day care and in-home situations, the Day Care social work staff helps the provider when necessary. Monitoring efforts have led to increased training for family day care home providers.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

The Day Care Services Unit has a Training Component, with 3 FTE's allocated for training, and 1/2 of 1 FTE allocated for technical assistance. The Training Component had an annual budget of $39,000 in FY 74-75 from a grant funded by the Department of Education. There is no budget broken out for technical assistance.

Staff Background: Within the Day Care Services Unit there is a Home Day Care Coordinator, a Neighborhood Worker, a Day Care social worker, and a Child Development Specialist (Training Component). When needed for training and technical assistance, there is also a physician, nutritionist, nurse, and Early Childhood Education consultant available to the Training Component from the University of Rhode Island.

The Child Development Specialist has an M.A. in child development, teaching and administrative experience. The social worker is a former teacher, and the neighborhood worker is a former day care center teacher.

### 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Day Care Services Unit Staff | Univ. of R.I. | State allows Day Care Services Unit staff to take any job-related course at U. of R.I. (e.g., psychology, social work) There is a limit of 4 courses per person. A raise in salary at the end of completion of all 4 courses is the incentive. | 4 courses at U. of R.I. |

Provider Training and Assistance

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Centers | Licensing Unit | Technical assistance for program development, and physical expansion - site visits | as requested. Individual consultations 2 hrs. per provider |
| Family Day Care Homes and In-Home providers | Training Component of Day Care Services Unit | 10-part T.V. program developed to directly and efficiently train providers. (They had outside consultants, e.g., nutritionists, on film for some segments.) | 11 full days per provider |

## 9-3 PROCESS

Identification of Need for Training and Technical Assistance: The need is determined by the Training Component based on the assumption that all family day care and in-home providers need training and technical assistance. Staff personnel requested programs to ascertain problem areas for providers. They deemed the areas of safety, health, nutrition, education, creative play, infant care, and child development particularly important for training and technical assistance. These areas were incorporated into a training program for family day care and in-home providers. Seminars and a 10-part T.V. program were utilized to effect this training.

The staff of the Day Care Services Unit requested training and technical assistance in areas important to them in their work. They received in-house presentations on training information and licensing regulations as a result.

Methods Used: The Training Component received a grant from the R.I. Department of Education to develop a 10-part television program to train family day care and in-home providers at 11 locations throughout the state. They also prepared post-program discussions between providers and a trained discussion leader to best explore the areas discussed in each of the programs. The grant also included money for outside consultants to help prepare the T.V. programs.

In centers the Licensing Unit provides training and technical assistance, if it's requested or if a new center is opening. The Neighborhood Worker from the Day Care Services Unit is also available for consultations on educational concerns, as is the Child Development Specialist and the Day Care social worker.

## 9-4 RESULTS

The Training Component expressed the feeling that, for the number of providers served, needs were met to great extent. (200 providers received training through the use of the T.V. program format last year). However, the problem for them is to reach all providers and provide training and technical assistance in a short time period. This, of course, was the reason for the development of the T.V. format.

After viewing a T.V. segment, providers are given questionnaires to complete and this feedback is utilized by the Training Component. In addition, a doctoral candidate from the University of Rhode Island has set up a control group which watches the T.V. program at home with no discussion afterward, and another control group which does not watch any of the programs. This will eventually, on completion of the study, yield effectiveness information.

## 9-5 PRINTED MATERIALS

There is a curriculum outline for the Family Day Care Television Training Series containing a child development bibliography, a pamphlet explaining the television program training that the Day Care Services Unit prepared for FDC providers, a newsletter on FDC with program tips for providers, a Discussion Leader's Guide for use in conjunction with the television program, and a pamphlet for parents considering family day care for their child.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Structure: The Day Care Services Unit of the Division of Family and Children Services has the primary fiscal and program responsibilities for child day care. There is also a Division of Budget of SRS which has fiscal responsibility for all social services.

There is no local fiscal management.

Function: The Chief Business Management Officer has responsibility for controlling expenditures and approving budgets and determining allowability of expenditures. However, fiscal decisions are based often upon program requirements. Program personnel submit proposals and budgets for approval by the Business Management Officer, who is in the SRS Department of Administration, Division of Budget.

### 10-2 FISCAL MATERIALS

Availability: All fiscal materials are available with the exception of contract forms (there are none), fee schedules (no fees), and audit report forms (there are none).

Source: Fiscal materials have been prepared by several departments. Policies, regulations, and approval for rate schedules come from the Department of Administration. Explanatory guides are prepared by the Day Care Services Unit. The Division of Budget is responsible for line item budget formats, and the Department of SRS is responsible for provider billing forms, and attendance forms.

Utility: All fiscal materials were rated good to excellent.

### 10-3 INCOME SOURCES

| Source | FY 74-75 | FY 75-76 |
|---|---|---|
| Title XX/IV-A | $1,189,064 | $1,890,126 |
| WIN | 133,796 | unknown |
| CWS | -- | -- |
| Other | -- | -- |
| TOTAL | $1,322,860 | $1,890,126 |

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | FY 74-75 Expenditures |
|---|---|
| Purchase of Service Contracted Facilities | - 0 - |
| Vendor-Paid Facilities | $1,322,860 |
| Direct Provision/Operation | - 0 - |
| Client Purchase With Social Service Reimbursement | - 0 - |
| TOTAL | $1,322,860 |

Description of Funding Methods/Processes:

A. Purchase of Service: There is no contract management organization in the state since there are no written purchase of service contracts currently. They are in the process of being developed and the state hopes to have contracted services in the future.

Currently the fiscal office within the Day Care Services Unit receives attendance records from providers every 4 weeks. The Day Care social worker authorizes provider payment and the fiscal office, after comparing attendance records with previous ones as a quality control procedure, sends payment to the provider.

B. Direct Provision: There is no direct program operation in the state.

C. Client Purchase: There are no direct cash payments to clients.

## 10-5 RATE ESTABLISHMENT

Unit of Measurement: Per child/week

| Provider Type | RATES | | |
|---|---|---|---|
| | Basis | Average | Range |
| Centers | Actual costs | $26/week | $20-$28 |
| Family Day Care | Rates charged other FDC homes in community | $12/week | flat rate for F/T |
| In-home | Same as Family Day Care | | |

Child must be enrolled and in full-time documented attendance. Full time is defined as 3 days per week, 4 hours each day, or a minimum of 20 hours per week. If child attends one day in the week, full-time, however, the facility will be paid.

## 10-6 IN-HOME CARE

There are in-home care standards utilized by the state.

The state has no special policy with regard to payment of relatives. The state is presently studying the minimum wage issue because they cannot afford to pay in-home providers the minimum wage required by law.

## 10-7 INCOME ELIGIBLES AND PARENT FEES

Income eligibles are defined as families with a gross annual income not exceeding 54% of the state's median income, adjusted for family size ($7,200 is the 50% level for a family of 4).

There are no parent fees for families with incomes in excess of 50% of the state's median income.

## 10-8 DONATIONS

None.

# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: While South Carolina is characterized as State Supervised-County Administered, functionally and operationally, it is State Administered-County Operated.

Description of Administrative Structure:

State Level - The Department of Social Services is the designated state services agency. The department consists of four bureaus (Human Services , Public and Medical Assistance, Fiscal Operations, and Administrative Support Services), and a series of centralized services.

Responsibility for all child care programs and fiscal activities are vested in the Bureau of Human Services. Of the four units within the bureau directly involved in child care management (Case Management; Contracts, Grants, and Child Development; IFS), the Office of Child Development within Contracts, Grants, and Child Development has the major responsibility for the administration of child care programs. OCD's management activities include: overall administration, program planning, evaluation, licensing, monitoring, training and technical assistance, coordination with county child care activities, and direct operation of one day care project.

The responsibility for client eligibility determination is performed by Case Managers within the state and local Case Management Unit for all social services.

The Individual and Family Services Unit is responsible for child care activities for WIN recipients only. The WIN-SAU worker is responsible for placement and follow-up activities for children of WIN clients. This includes but is not limited to: selecting a suitable facility, relatives' home or live-in relative to provide child care, planning, evaluation, eligibility determination, monitoring, training and technical assistance, and fiscal control.

The Contracts, Grants, and Child Development Division contains a fiscal section which conducts technical assistance and reviews reimbursement requests for all purchase of service contracts; however, another bureau within DSS, the Bureau of Fiscal Operations, is the final review unit for child care fiscal activities. This Bureau functions as the primary fiscal unit for all other social services as well.

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The South Carolina site visit was conducted in January 1976. Interviews were held with state staff members and county staff members in Charleston and Spartanburg counties.

Among the Department's centralized services is Service Monitoring, with responsibility for the monitoring of all social service programs.

District Level - Statewide, there are (6) six district DSS offices. Within DSS, the Field Operations Unit is responsible for administrative supervision of district offices. Each office is staffed by: a District Director, four Program Supervisors for Case Management, Individual and Family Services, Public Assistance and Food Stamps. Two Supervisors for Quality Control, Staff Development and Training, Case Managers and Service Workers.

County level - County DSS offices are responsible for direct service delivery. Management functions that are carried out at the County level consist of Information and Referral and Eligibility Determination.

Direct services delivered by the county offices of DSS are administratively supervised by the Division of Field Operations. Direct services such as: Day Care, Public Assistance, Food Stamps, etc.

Charleston County: The Day Care Unit has responsibility for child day care activities. Licensing studies on private centers and homes are done by the County Licensing Workers. Licensing studies on publicly-funded centers and homes are done by Licensing specialists based and supervised at the state level. Monitoring of public centers is done by the County Day Care Consultant. The Day Care Unit directly operates the DSS' public centers.

Spartanburg County: The Day Care Unit is responsible for several management functions; i.e., eligibility determination, information and referral, which are done by the Day Care Service Worker located at each public center. The Day Care Consultants monitor the public centers. Licensing studies are done as indicated for Charleston County.

Other Agencies - The Department of Social Services, Office of Child Development, is the agency charged with the administration of child development funds as appropriated in the Appalachian Regional Development Act of 1965. The funds are used as matching for Title XX funds for use in the six (6) Appalachian counties as well as for pilot and experimental programs in the ARC region.

The Appalachian Regional Commission also provides training and technical assistance to the state as well as to the (6) six counties' direct operations of child care.

ARC directly operates a program without Title XX match (1 county: Spartanburg).

## 1-2 RESOURCES ALLOCATED TO CHILD CARE

| | FY 74-75 | FY 75-76 |
|---|---|---|
| Total Social Service Allocation | $20,530,000 | $43,300,000* |
| Total Child Care Allocation | 2,923,458 | 7,551,041** |
| Proportion of total social services allocated to child care | 14% | 17% |

* As indicated by the allocation for FY '75 and '76, South Carolina received 47% additional funds as a result of Title XX.

** Child care received 38% additional funds for FY '76. The number of eligible children will increase also.

As a result of Title XX, South Carolina funding level was increased to reflect the population needing Social Services.

In addition, child care services for WIN recipients were paid in part with Title IV-A funds, because WIN funds were inadequate; therefore, for FY '76, $219,316.00 of the 7.5 million allocated will be used for WIN child care activities.

Child care receives funds from Appalachian Regional Commission, and State General Assembly Allocation, totalling $3,400,000 for FY '76.

The proportion of total social service time allocated to child care is 7.9% or 47½ FTE's out of 600 FTE's.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number of Providers | Number of FFP Children | Expenditures FY '75 | Expenditures FY '76 |
|---|---|---|---|---|
| Public Center | 208 | 4,500 | $4,713,619 | no breakdown by provider type |
| Public/private* centers: WIN | unk | | 81,886 | |
| Private centers | 349 | | 1,271,487 | |
| Family day care homes | 54 | | 9,000 | |
| Group day care homes** | 225 | 0 | 143,631 | |
| In-home | unk | 2,091 | 143,631 | |
| Out-of-home Care with relative | unk | | 435,405 | |
| TOTAL | 836 | 6,591 | 6,705,488 | 10,951,841*** |

* Public and Private centers are combined here to show FY '75 expenditures for WIN recipients using center care and GDCH.

** Group day care home is not used for FFP eligibles. WIN does provide care in GDCH but there is no purchase of service contract with GDCH.

*** Includes ARC and State General Assembly Funds.

## 1-4 NATURE OF RECORDS

| Type of record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | yes | Individual and family | local |
| Standardized social service forms | yes | Individual | state |
| Computerized records | yes | Individual | state |
| Income maintenance records | yes | Individual and family | state<br>local |

Extent of Data: Records are maintained on individual users of social services; the computerized records contain all information; the other records contain a variety of information on the user.

Data Aggregation: Data is collected at the local level and transmitted to the state computerized information system. Reports are expected to be generated monthly to show the number of providers, children served and dollars expended for child care.

The state's computerized information system began operations in October 1975 and was designed to provide information necessary for completion of the new Social Service Reporting Requirement.

## 1-5 STATUTES

Local zoning statutes govern the type of child care facilities to be located in a neighborhood. Each city has different zoning codes and zoning boards.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

The problem areas center around the lack of available funds for renovation of present facilities to bring them up to standard. Funds are limited for centers and none are available for homes.

Lack of available local funds, which could be used to match federal funds to develop new facilities.

Lack of trained personnel in staff facilities, particularly in rural areas of the state.

One of the particular strengths as seen by state and county personnel is the Office of Child Development. The OCD staff has an extensive amount of expertise in child development and thus the county personnel is provided with comprehensive training and technical assistance.

Comprehensive developmental approach to child care is family oriented. Aimed at helping each child and family attain the goal of self-support and self-sufficiency.

Extremely strong speech therapy program.

Maintaining community based child care centers, that have been in the community for some time without assistance from the state or county, that are now county direct operation. The children and staff live in the same community.

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT

Performed by: The Department of Social Service planners, Governor's office Health & Social Development planners, and OCD's Program Management Unit. The Social Service Advisory Committee composed of representatives from the state's planning districts All Title XX activities were supervised by the Joint Task Force for Title XX.

Level of Effort: Two full-time planners from DSS working with the Task Force from January 1975 until completion of plan. Level of effort from the Governor's office and the Social Service Advisory Committee is unknown.

OCD's Program Management unit worked 800 to 1000 person hours on needs assessment activity for child care. The needs assessment study was conducted in the early part of 1975.

### 2-2 PROCESS

The needs assessment study was inclusive of all social services; however, the staff of the Program Management Unit focussed exclusively on child care.

A Needs Assessment questionnaire was developed for use in gathering necessary information from the participating agencies. All state agencies, local and regional government, and private agencies were asked to complete the forms and were interviewed by the Joint Task Force. The forms were designed to ascertain state priority needs, population characteristics, and the areas of greatest need. From this information the Task Force was able to estimate the social service needs.

The Office of Child Development's Program Management Unit conducted a needs assessment study for child care. A questionnaire was developed to be answered by a random sample of providers. The questionnaire was to determine the need for continued or additional services. The providers were from all service types.

| SOURCES OF INFORMATION | | RESEARCH & STATISTICS DATA |
|---|---|---|
| Documentary Sources | utilized to some extent | 1970 Census & State Budget and Control Board update of population |
| Agency Personnel | extensive usage | OCD Staff: Bur. of Fiscal Operations<br>ARC Staff: Rsch. & Statistics Unit |
| Service Providers | extensive usage | Questionnaires to Providers |
| Consumers | limited usage | Public hearings |
| General Public | limited usage | Public hearings |

## 2-3 RESULTS/UTILIZATION

Lack of funds meant that OCD could not undertake an in-depth needs assessment for the first Title XX plan. However, steps are being taken to overcome this problem now. A needs assessment is being developed and tested in one of the six ARC counties. is defined as families with children under six years of age. 415 scientifically sampled families have been interviewed to provide results within 95% confidence range. The object of the survey is to assess current child care arrangements and to determine the day care, educational, nutritional, social and health needs of the people. 2. All child care providers, including family day care mothers are being surveyed through a mail-out questionnaire in order to assess their perceptions of child care needs.

Besides assessing needs, the data will be used to highlight significant trends and correlations. It will also be used to project future child care needs.

The final report is expected to be completed by the end of April 1976.

The Needs Assessment study for 1975-76 Title XX plan produced two results:

- Types of clients needing service; AFDC-WIN and AFDC-non-WIN
- The geographic area was determined to be statewide.

### Degree of Integration into Planning Process

The results of the needs assessment study affected the development of the plan in relation to types of services needed and the population to be served. For OCD the needs assessment brought out the need to focus more on infant care and after school care. A target number of children to be served was established.

## 3. PLANNING

### 3-1 ORGANIZATION

Title XX Planning - the Title XX Task Force and DSS Planners and the Governor's Office planners did the planning for Title XX. The Office of Child Development's Program Management unit assisted the planners.

### 3-2 PLANNING PROCESS

Particular population groupings were defined as: current AFDC recipients; persons with identified goals as self-support, self-sufficiency, protection, etc.; and children with special needs. The population differs from those already being served under Title IV A, because clients no longer have to be categorically eligible. Income eligibles have been added with 80% ($9,428 family of four) of the median. With 80% as the cut-off, more citizens could be served.

OCD's Program Management determined the number of children in families whose income is below the poverty level, the number of working mothers with children needing child care, and the availability of matching funds.

Also the availability of existing facilities, as well as the possibility of new facilities.

WIN child care needs were integrated into the planning for overall child care.

For the OCD Program Management Unit, the Title XX planning process was not unlike the on-going planning done by the Program Management Unit for Child Care.

### 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | types & numbers | Comparison with previous year |
|---|---|---|---|---|
| *Total number to be served | yes | yes | 3,589 | less |
| Population categories to be served | yes | yes | AFDC-WIN; AFDC-non-WIN<br>Income - 80% | same |
| Priority population categories | no | no | ----- | ---- |
| Service provider types | yes | yes | Infant & after-school care; home based developmental care | same |
| Special provider attributes (e.g., hours of service) | yes | yes | Days, weekends, evenings | same |
| Geographic areas | yes | yes | Statewide | same |
| Dollars allocated for service | yes | yes | $7,551,041 | more |

*The Title XX Plan indicates that the total number of children to be served will be 3,589; the number actually being served with Title XX funds is 5,000 to 6,000. The number to be served in the Plan is less than the number served last year.

Planned Organizational Changes: No organizational change was proposed.

Utilization/Implementation: In effect, no major changes were derived from the planning process; therefore no implementation process.

## 4. EVALUATION

OCD is a new entity. Since it became a part of DSS in 1973, the empahsis has been on streamlining existing programs and developing appropriate instruments for contracting and reimbursements. Program evaluation has been low priority because there have not been many programs in place to evaluate.

However, the picture is now changing. OCD has received funds from ARC to develop needs assessment and evaluation models. OCD is of the opinion that the development of an adequate data base must precede any evaluation efforts. A computerized information system has been developed which is as comprehensive as any in the country. The results and tabulations derived from this system already enable OCD to make judgments about how the programs are operating - their financial base, services offered, client family dynamics, employees, etc.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I&R SERVICES

The Department of Social Services provides an information and referral service for all social services to clients at the state, district, and local level. The personnel involved in information and referral are: SAU-WIN, Case Managers, Day Care Service Workers, Day Care Consultants, Income Maintenance Workers, and CETA district workers. Voluntary agencies and private poviders also participate in giving the service.

The Appalachian Regional Commission also provides information and referral services in the six Appalachian counties.

### 5-2 PROCESS

Assembling Information:

| Provider Type | Systematized State | County | Frequency of Updates | Information Compiled Ages | Hrs. | Cost | Availability |
|---|---|---|---|---|---|---|---|
| Public Centers | yes | yes | monthly | X | X | X | X |
| Private Centers | yes | yes | quarterly | X | X | X | X |
| Homes | yes | yes | annually | X | X | X | X |
| In-home | yes | yes | annually | | | X | X |

The frequency of updating of information varies at the county level. With direct operation the updating can occur daily. For private facilities, the frequency ranges from monthly, quarterly to annually.

Disseminating Information: Prior to Title XX, the one method used by clients was to go directly to the Day Care facility and be referred to the county DSS for eligibility determination. However, as a result of Title XX media coverage and public hearings, persons who are now eligible for services are much more aware of the services available to them. The client will go directly to DSS for referral to the type of service needed more often than before, but the same system has been operable since the day care center tends to be closer to the community than the DSS office.

In the Appalachian counties, the commission developed a directory of services. This directory was distributed to all centers, voluntary agencies, and state and county DSS offices. OCD staff have appeared on television and radio interview shows. A statewide Symposium for Child Development was also held as part of the outreach of the OCD.

Assessing Client Need/Referral & Follow-up: The County level Case Managers have primary responsibility for assessing the need for child care, based on the child's age, family composition, child's personality and developmental level, hours of care needed, location and cost of care.

In the six Appalachian counties within the Day Care Center, the Day Care Service Worker is responsible for assessing needs, with the same factors indicated above as the bases.

The Case Manager and the Day Care Service Worker are involved from first contact through completed placement, and this continuity is seen as a source of strength in the worker-client relationship. Parents are involved throughout the assessment process.

Inquiries for day care services under CETA are received by Employment Security and referred directly to the CETA staff assigned to each District Office who process all applications for services under this program. County Case Managers process applications under the Title XX Program, complete a needs assessment and arrange or assist in the arrangement of child care services.

WIN-SAU workers at the County level work specifically with WIN eligibles and provide necessary information to recipients and Employment Security to effect child care services as required according to jointly agreed service plans.

The State office "Hotline" operators and the County Information and Referral workers do not systematically follow up on referrals.

Follow-up is a part of the responsibility of the County Case Manager, WIN-SAU and District CETA workers. Follow-up is a requisite in order to effectively ascertain the status of services being provided.

## 5-3 RESULTS

Information on the number of persons seeking child care referral was not available at the state level.

In Spartanburg County, 50 persons sought referrals as of October 1975, and all were assisted in locating child care services.

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

The Title XX Plan states that eligibility policies and procedures are determined at the State Department of Social Services - Case Management Division. Because clients may apply at agencies other than the Department of Social Services for determination of eligibility and Case Management for services, management of cases could potentially be fragmented. In order to assure that all clients can maximally utilize all available services, the Department requiring that standardized procedures be used in eligibility determination.

### 6-2 POLICY PROVISIONS

Eligible Population Categories:

AFDC-WIN
AFDC-non-WIN
Income Eligibles, defined as 80% of median income ($9,428 income for a family of four)
CETA - Comprehensive Employment and Training Act
SSI - Social Security Supplement Income

Revisions Since the Passage of Title XX: Revisions were made to bring South Carolina in line with Title XX regulations.

These changes as a result of the new law will hopefully enable many South Carolinians to participate in the available services program. Additionally, an on-going needs assessment in each of the ten (10) Regional Planning Districts is required. Therefore, services may be developed and expanded as needed.

Materials to Ensure Uniform Interpretation: Guides have been developed and distributed. Training was conducted throughout the state to acquaint personnel with new procedures.

### 6-3 PROCESS AND VOLUME

Applications: Standardized forms, developed at the State DSS Case Management Division are used throughout the state.

Applications are completed and secured at the county level by the Case Managers.

The total number of social service applications received was estimated at 30,000 for fiscal year 1975. The percentage of that number for child care was unknown.

Eligibility Determination and Verification: For clients who are AFDC, WIN, CETA, SSI recipients, recipient status is verified by checking AFDC, WIN, CETA, and SSI records, and the client is determined to be eligible. Where the client is employed, paycheck stubs are required to determine if the client meets the 80% median income criterion ($9,428 for a family of four) or a statement from the employer.

For clients who are recipients of public funds, eligibility is determined immediately. In the case of income eligibles, it may be 2 to 3 days before the client is informed of the eligibility determination. This may be done by telephone or by mail.

The total number found to be eligible was estimated at 85% to 90%.

The delivery of services starting time may vary depending upon the type of care sought. Public centers usually have waiting lists; thus the client may have to wait for available slots. For WIN and CETA recipients, private centers, in-home care and out-of-home care with a relative may begin immediately.

Quality Control: The Service Monitoring Division of the Department of Social Services at the state level does a random sampling of clients, client records and providers. The record review consisted of checking to see if the client application is complete, how eligibility was determined and for the client's service plan.

A random sample of clients are interviewed to ascertain the status of service provided.

A random sample of providers are also interviewed, to determine the services provided to the client and their adequacy; also to determine how satisfied the provider is with the referral process, communications with agency, and its personnel.

Redetermination of Eligibility: Eligibility is redetermined every six months. Usually, clients that are ineligible are discovered at this time, and service is discontinued. However, the Case Manager attempts to provide the clients with services that may be reimbursed from another funding source.

Appeals: When a client is found to be ineligible, he/she is informed of the appeal procedure. There have been no appeals filed in the last year.

## 6-4 PARENT FEES

No fees for eligible clients.

There are no fees paid by parents, because only clients who are eligible for full subsidy are served. Anyone earning more than 80% of the median income must pay the total cost of care; or the sponsoring agency pays part and the client pays on a sliding scale based on income.

## 7. LICENSING AND OTHER SANCTIONS

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The State Department of Social Services under the current Licensing Act has the authority to promulgate regulations for child day care facilities. Licensing specialist based at the state level conduct licensing studies in publicly funded child day care facilities. The county licensing staff is responsible for conducting licensing studies on all other facilities.

The Department of Social Services at the state and local level have enforcement responsibility, although the current licensing law does not have adequate enforcement provision, as indicated by the state and local personnel.

At the state level, there are four licensing specialists who devote full time to conducting licensing studies on the publicly-funded child day care facilities.

Within the 46 counties there are 59 licensing workers, of which 12 perform full time child day care licensing activities. Three allocate 80% of their time to community licensing studies of child day care facilities and 44 spend 20% of their time. The county workers who conduct licensing studies on a part-time basis spend the remainder of their time on activities such as protective services, licensing foster homes, and placing foster children.

Of the 63 state and county licensing workers, approximately 27.7 FTE's are allocated to child care.

Qualifications for Full-Time Licensing Specialist: A bachelor's degree and 2 years' experience in social service programs. County workers meet qualifications for Case Managers or Direct Service Workers.

### 7-2 STANDARDS

Standards Development Process:

A Task Force on Child Day Care Licensing representing all facets of the licensing process including consumers, providers, health and fire officials and agency (DSS) staff has been instrumental in developing the new regulations now under review. The Task Force, appointed by the South Carolina Child Development Council in 1973, secured help from some of the foremost licensing authorities in the country. Following review by the Task Force, Child Development Council and DSS staff, revised regulations will be transmitted to license providers throughout the state, and public forums will be scheduled. When final revisions and approvals are complete, the regulations will become operative.

The current standards were developed in 1956 and revised in 1959, 1961, 1964, and 1967 by the state DSS staff with input from county DSS staff.

Content of Standards:

Staff:Child Ratios

| Centers: | Age | Current Standards | Proposed Standards |
|---|---|---|---|
| | Under 2 | 1:6 | 1:8 |
| | 2 to | 1:8 | 1:12 |
| | 3 to 4 | 1:10 | 1:15 |
| | 4 to 5 | 1:14 | 1:20 |
| | 5 | 1:15 | 1:25 |

Group Day Care Homes:
Current regulations define Group Day Care Homes as facilities serving no more than 15 children of any age range including the operator's own children. Proposed regulations define Group Day Care Homes as serving no more than 12 children of any age range including the operator's own children under 12.

Family Day Care Homes:
Any age range with no more than two children under 2 years, and no more than seven in total including mother's own children. Proposed regulations would permit any age range with no more than two children under 2 years, and nor more than six in total including the operator's own children under 12.

The current regulations cite specific requirements with reference to the suitability of facilties, staff-child ratios, health and nutrition. Proposed regulations include the above areas and add requirements on fire safety and sanitation. Major changes focus on the inclusion of fire safety and sanitation regulations relating specifically to child day care facilities and a strong emphasis throughout on minimal requirements.

The major changes as cited by state personnel relate to the suitability of facilities.

A request for waiver of FIDCR has been made, with no response to date.

FIDCR standards have proved to be too stringent, and none of the state's standards exceed FIDCR.

Areas that are not referenced in the current or proposed standards that compare with FIDCR:

- location of day care facility
- social service
- parent involvement
- training of staff
- administration and coordination
- evaluation

The dominant problems in meeting licensing requirements are:

For family day care homes:

- recommendations from fire and sanitation departments
- necessitating changes of physical features of house
- medicals for operator and household members

For group day care homes: same as above

For child care centers:

- staff child ratio
- toilet requirement
- medicals for staff and children

## 7-3 SUMMARY OF LICENSING ACTIVITIES

| SERVICE TYPE | STDS. | Req. Lic., Cert., or App. | Total # Prov. | % Lic. | Renewal Freq. | Planned Renewal Freq. |
|---|---|---|---|---|---|---|
| In-home | No | No | Unk. | N/A | N/A | N/A |
| Family day care | state | license | 54 | All | Annual | Annual |
| Group day care | state | license | 225 | all | annual | annual |
| Private centers | state | license | 349 | all | annual | annual |
| Public centers | state | license | 208 | all | annual | annual |
| Total | | | 836 | | | |

Fees for Licenses: A $5.00 fee is charged to centers and homes.

Content of License: The license for both Centers and Day Care Homes includes:

- date of issuance
- period valid and/or expiration date
- maximum number of children
- category of license and limitations
- location
- name of facility and operator
- type of facility

## 7-4 LICENSING PROCESS

Areas of Investigation: A licensing study for Family Day Care Homes includes:

- physical characteristics of homes
- provider characteristics (age, health, etc.)
- provisions for nutritional component
- verification that children have medical clearance
- provisions for handling sick children, accidents
- household composition and information
- names of persons caring for children
- hours and type of care
- financial arrangements

A licensing study for centers includes:

- physical characteristics of center
- provider characteristics
- provisions for nutritional component
- verification that children have medical clearance
- provisions for handling sick children, accidents
- educational component
- names and addresses of governing body
- financing of center
- records
- staff ratio and house
- description of services

Group Day Care Homes are included with Family Day Care Homes under current regulations, but have been separated under proposed regulations.

Extent and Nature of Process: There is a structured format for licensing of all facilities. Homes are made aware of the licensing requirement through word of mouth, other operators, DSS staff and clients that wish to use their facility.

For homes, it normally requires 3 to 4 visits, (2 by DSS, 1 by Fire Department, 1 by Sanitation Dept.). For Center, 4-5 visits are required (3 by DSS; 1 by Fire Department; 1 by Sanitation Department) to complete a licensing study.

There is an approximately 3-4 month time lapse between the initial licensing study and the issuance of a license.

The factors that generally delay/impede issuance of a license include:

- delay in securing materials related to licensing study from providers and Fire and Sanitation Departments;
- heavy and diverse workload of county DSS staff;
- heavy workload of sanitation and fire officials;
- lack of response from providers.

All providers in the categories indicated have undergone an initial licensing study.

Follow-up: A regular follow-up procedure is conducted between issuance of a license and prior to the renewal date by the state or county. The same format is used at the state and local level.

State licensing specialists conduct follow-up in the publicly funded centers, and consists of the following:

- letter summarizing status of facility, listing any deficiencies is sent directly to provider;
- licensing specialist provides interpretation of standards and technical assistance to provider on site;
- licensing specialist visits a minimum of every six months to assure compliance.

The county staff conducts follow-up with private sector providers, and the procedure consists of the following:

- county staff contacts providers either by visit or letter identifying deficiencies to be corrected;
- full-time licensing staff in county may make interim visits to facilities to encourage compliance and provide operator with any additional information needed.

The follow-up procedure is seen by the state and county personnel as an important aspect in the licensing process.

Conditional/Provisional Licenses: At the state level, of 846 licenses issued during the period from 7/1/74 through 6/30/75, 757 were provisional.

Current state law does not have enforcement provisions and the Department of Social Services has never revoked a license. Under existing law, a provisional license can be renewed over and over.

A minimum of one month to a maximum of 4 to 6 months may elapse between issuance of a provisional license and follow-up. The follow-up procedures are the same as those described above.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

The Office of Child Development and county Day Care Consultants monitor public facilities for compliance with FIDCR, other federal regulations, fiscal activities, and progress since prior visit.

Contracts and Grants does fiscal monitoring of direct operations and purchase of service contractors monthly.

Service Monitoring Unit has responsibility for all social services.

In addition, WIN-SAU and district CETA workers are engaged in monitoring activities in relation to In-home Care and Relative Care.

### 8-2 MONITORING ACTIVITIES

| Provider Type | By Whom Monitored | % Monitored | Frequency | Average Time per Unit |
|---|---|---|---|---|
| Public Center | OCD, Service Monitoring<br>County Day Care Unit | All | monthly<br>weekly | 6 hrs.<br>2 hrs. |
| Private Center | OCD, Service Monitoring | All | Monthly | 2 hrs. |
| FDC Home | OCD, Service Monitoring | All | monthly | 2 hrs. |
| Group DC Homes | OCD | All | monthly | 2 hrs. |
| In-home care | OCD, WIN, CETA | All | monthly | 1-1/2 hrs. |
| Out of home care w/relatives | OCD, WIN, CETA | All | monthly | 1-1/2 hrs. |

### 8-3 PROCESS

Formal instruments are used and were developed by the Service Monitoring Division.

Areas covered by the state's monitoring of providers include:

- description of service provided to clients
- amount of information given the provider about the client prior to client receipt of service
- average length of time between request for service and actual delivery
- the effect of service on client
- communication between provider and case manager
- the referral process
- transportation of child to facilities
- number of days child care is provided

The basic strategies used in monitoring of child care consist of: telephone calls, mailed forms, scheduled site visits, and surprise visits. Some monitoring visits are done in response to problems brought to the agency's attention.

## 8-4 RESULTS

While it was not possible to arrive at a statewide figure, Charleston County indicated that 47% of its public centers were out of compliance with state and federal regulations.

Areas that are hardest for providers to comply were: toilets, facilities, staff-child ratios; health requirements; parent involvement and fire standards.

Follow-up action is comprised of: provider informed of areas of non-compliance; target date established for achieving compliance; follow-up visits. Extensive technical assistance is given to providers to bring them into compliance.

If compliance is not achieved, children are withdrawn and funds withheld.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: Office of Child Development and the Staff Development Unit of DSS have primary responsibility for providing training and technical assistance on a statewide basis for centers and homes. The Appalachian regional commission provides training and technical assistance to state and local personnel primarily in relation to the six Appalachian counties.

It is estimated that 6.8 full time equivalent staff members, with a budget of $127,432 were allocated to training in fiscal year 1976. In addition, approximately 10.2 full time equivalent staff members, with a budget of $191,147 were allocated for technical assistance.

Local: The county Day Care Supervisors, Day Care Consultant; Individual and Family Services Division and Appalachian Regional Commission provide training and technical assistance to providers. Approximately 40% of staff time is allocated to providing training and technical assistance.

Estimated expenditures for training and technical assistance at the local level for fiscal year 1976 is $103,733.

Staff Background: At the state level, all but two of the nine consultants have Master's degrees in Early Childhood Education, or in the Social Sciences. All consultants have 2-6 years of experience in public service programs.

At the local level, staff persons are required to have a B.A. in Education or in the social sciences, and at least 2 years experience in social service programs.

Staff members attend a variety of workshops, seminars, and conferences on the local, state, regional and national level.

## 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| State DSS T&TA Staff | Regional SRS | Interpretation of new regulations, curriculum, program areas | two days |
| DSS staff Licensing Worker; CETA Workers; OCD staff | State DSS T&TA staff | Interpretation of new regulations and laws concerning licensing and budgets | 1 day per month |
| OCD staff County DSS staff | Appalachian Regional Commission | Workshops on early childhood education, health, nutrition, infant and toddler care; parent involvement | 1 week over a 6-month period |

Provider Training and Assistance

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Centers | OCD staff<br>County Day Care Staff<br>ARC | Budget preparation, community involvement, early childhood education, health and nutrition, infant and toddler care, parent involvement, administration | 1 day to 1 week per month as needed |
| Homes | County Licensing Workers | Compliance with state standards | as needed |

## 9-3 PROCESS

The need for training and technical assistance is determined by:

1. Observation by the county Day Care Consultant;
2. Results of needs assessment process being done for each center and children. The training and technical assistance unit of OCD has developed need assessment instruments to be used by providers to describe their activities. Assessment Guides were developed to be administered to the children to determine cognitive, motor, social and emotional development skills as well as hygiene and self-help skills. This information became very valuable when the training and technical assistance unit determines the type of child development training needed.
3. Request from providers.
4. Referrals from DSS staff (i.e., licensing workers, service monitors, contracts management unit).

Family Day Care providers, licensing workers, private center providers, and parents were identified as having the greatest need for training and technical assistance. The public center providers are in as great or nearly as great a need.

The content areas where training and technical assistance are needed are:

- curriculum - infants
- evaluation
- parenthood education
- health and nutrition
- parent involvement
- special education
- administration

Technical assistance activities are conducted through visits with individual providers.

Training activities are carried out through workshops, seminars, conferences and at least one in-service workshop per month for each participating center (public).

## 9-4 RESULTS

The State personnel estimates that 20-40% of training and technical assistance needs have been met. However, it was felt that much more could be done and the proposed plan calls for 2 to 4 additional staff members.

The Office of Child Development has instituted a technical assistance team on community involvement. The parents and community are still, however, considered to be the two groups with the greatest remaining unmet needs.

On-site visits are the main methods of determining training and technical assistance effectiveness. With the needs assessment now in process, each center must submit reports of assessment, and the results will be evaluated and future training and technical assistance can be designed with the needs of the provider in mind (i.e., Center Administration has been indicated as a specific need as a result of the assessment process).

Providers are most receptive and in most cases eager for training and technical assistance. The number of request for training is increasing.

The major constaints to providing training and technical assistance to all who need it were stressed by the state personnel as lack of time and personnel, particularly with reference to private providers who need training and technical assistance and are not receiving it.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Structure:

State: The fiscal functions are performed by: Bureau of Fiscal Operations, and Contracts and Grants Unit of the Bureau of Human Services. There is no separate child care fiscal unit.

Division of Contract and Grants and the Office of Child Development are the units responsible for fiscal activities for child care, and work very closely together in the development of the annual child care budget, resource allocation, preparing policies, setting rates, and preparing and approving budget for individual facilities. The Bureau of Fiscal Operations has final sign-off.

Local: There is no local fiscal unit. Vouchers and requisitions are sent to the state and payment is made directly to the providers.

### 10-2 FISCAL MATERIALS

A complete package of fiscal materials has been developed and is used regularly. They were developed by the social service fiscal units and the office of Child Development.

### 10-3 INCOME SOURCES

| Source | FY 74-75 | FY 75-76 |
|---|---|---|
| Title XX/IV-A | $2,923,458 | $7,551,041 |
| WIN | 216,924 | |
| CETA | 360,000 | |
| ARC | 2,485,106 | 3,400,000 |
| State General Assembly | 720,000 | |
| TOTAL | $6,705,488 | |

### 10-4 DISTRIBUTION OF EXPENDITURES

| Method | Fiscal Year 1975 Expenditures |
|---|---|
| Direct Operation | $1,945,149 |
| Purchase of Service | $4,760,279 |
| TOTAL | $6,705,488 |

## Description of Funding Methods/Processes

A. **Purchase of Service:** Services are purchased from Centers, Family Day Care Homes, In-home and Out-of-home Relative care.

Within the Bureau of Human Services, Contract Management is responsible for all services purchased. Written contracts are developed for all types of services. There is no information on expenditures by purchase types.

Group day care homes are not used.

B. **Direct Operations:** The state contracts with 33 counties for direct operation of centers, as well as operating one project itself. Line item budgets are developed and payment is reimbursed. Employees of the local programs are hired directly by the county and salaries are based on the state Merit system.

Policy and budget allocations are developed by Contracts & Grants and the Office of Child Development. The Bureau of Fiscal Operations is responsible for quality control and and final budget clearance.

C. **Client Purchase:** None

10-5 UNIT OF MEASUREMENT

Per child day, enrolled and in full-time attendance (i.e., greater than four hours).

| | | Rates | | |
|---|---|---|---|---|
| | | | Range | |
| Provider Type | Basis | Average | High | Low |
| Centers | Actual Cost | 8.66 | 29.80 | 2.47 |
| Family Day Care Home | Actual Cost | 4.00 | 5.00 | 3.00 |
| In-home care | Actual Cost | 3.60 | 3.60 | flat fee |
| Relative Care | Actual Cost | 3.60 | 3.60 | flat fee |

10-6 IN-HOME CARE/OUT-OF-HOME CARE WITH RELATIVES

CETA and WIN are the only state or federal funds used for in-home and out-of-home care with relatives. Relative must live in home when in-home care is used.

10-7 INCOME ELIGIBLES AND PARENT FEES

Only persons earning less than 80% median income are eligible, and no parent fees are charged. Ineligibles pay total cost.

10-8 DONATIONS

Funds received from donations in Fiscal Year 1975 totalled $1,046,000. These funds were received from public and private sources.

## 1. OVERVIEW

### 1-1 ORGANIZATION

Administrative Model: State-administered

Description of Administrative Structure: The Department of Social Services (DSS) is the designated state services agency. The department is comprised of five program divisions and three offices providing centralized services.

Responsibility for administering the state's child care program is the responsibility of the Division of Human Development (DHD). Three of its four offices (the Office of Resource Development, Office of Community Services, and Office on Children and Youth) are directly involved in various aspects of child care management with support from a centralized service unit, the Office of Program Services.

Fiscal management for all social services including child care is the responsibility of the DHD's Office of Community Services. Program and fiscal personnel within the office determine annual program expenditures. Additional support is received from the departmental Office of Management Services which provides technical assistance in accounting for funds and completing federal claims. Local offices have no fiscal responsibilities.

Statewide, there are four regions. Each office within the Division of Human Development (except the Office on Children and Youth, which plays primarily an advocate role for youth) has an office in each region. Field offices are located in most counties. Their organizational structure generally replicates the state structure.

The DHD's Office of Resource Development is responsible for supervising and coordinating licensing activities. Actual licensing procedures are implemented by social workers in the local branches of the Office of Resource Development.

### 1-2 RESOURCES ALLOCATED TO CHILD CARE

| | Allocation of Funds | |
|---|---|---|
| | FY 74-75 | FY 75-76* |
| Total Social Services Allocation | unknown | $10,238,000 |
| Total Child Care Allocation | $1,010,000 | $ 1,465,000 |
| Percentage of Total Social Services Funds allocated to Child Care | unknown | 14% |

* South Dakota's total federal social service allocation is not at its maximum because the state legislature limits state matchable funds to 90% of the state's federal entitlement.

The proportion of total social service staff time allocated to child care is not available. The number of FTE involved in child day care services at the state and regional levels is approximately 11.5 FTE.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Providers | Number FFP children [*1] | Expenditures | |
|---|---|---|---|---|
| | | | FY 74-75 | FY 75-76 |
| Private Centers | 38 | 821 | $ 213,089 | $ 307,650 |
| Group Day Care Homes | 10 | 51 | 20,294 | 29,300 |
| Family Day Care Homes | 1,441 | 4,365 | 649,417 | 937,600 |
| In-home Care | 194 | 729 | 131,912 | 190,450 |
| TOTAL | 1,683 | 5,966 | $1,014,712 | $1,465,000 |

[*1] The figures for FFP children are higher than normal because they include current FFP children plus those served since July '75.

There are no public child care centers. Relatives accepting family offspring into their home for day care are treated as in-home providers.

All providers are open to and generally serve a combination of FFP-eligibles and non-eligibles.

## 1-4 INFORMATION SYSTEM

Nature of Records:

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | No | N/A | N/A |
| Standardized social service forms | Yes | Family | local level |
| Computerized records | Yes | Family | state level |
| Income maintenance records | Yes | Family | both state and local |

Extent of Data: With the exception of income maintenance information, all required data is available through the state computer. Standardized social service forms have complete information on client identifiers and demographic descriptors, and partial data on service delivery, service costs, and eligibility status. They also contain no income maintenance information. The latter is retained exclusively in income maintenance records.

Data Aggregation: All management information is initially collected at the local level and forwarded to the state where virtually all of it is computerized. Computer print-outs covering expenditures by provider type, ages of children, and number of providers are generated by this system. No problems in meeting Title XX reporting requirements are anticipated.

## 1-5 STATUTES

None other than licensing regulations.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS/HIGHLIGHTS

Both state and local respondents felt that the rate of reimbursement to providers (50¢/hr./child) was too low. State officials also felt that the overall fiscal allocation for child care was inadequate.

No major programmatic strengths were cited by state interviewees. However, the state has developed a special innovation in information and referral services -- a toll-free "Tie-Line" providing reference to statewide social services including child care. Local respondents believed their program's small scale facilitated more direct delivery of services.

## 2. NEEDS ASSESSMENT

No comprehensive statewide needs assessment was undertaken due to time constaints.

Instead, the DSS Title XX Committee reviewed and assessed pre-Title XX census data, in-house documents and reports, and prior public surveys conducted by South Dakota State University. Numerous meetings were held with the general public and service providers. However, the primary purpose of these meetings was to create a forum for the discussion of proposed Title XX policies rather than to develop a systematic needs assessment.

However, information from the South Dakota State University surveys did enable the staff to identify low income groups needing assistance in providing adequate child care. As a result, the state, which previously had not served "former and potentials" under Title IV-A, designated an income eligible category and developed a fee schedule.

The state anticipates that current time allowance will permit the development of a more comprehensive, systematic needs assessment for use in subsequent planning efforts.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

On-going Planning: Social services planning has been limited to the day-to-day responsibilities of DHD program supervisors. No special department or division at the state level has had responsibility for on-going social services planning in the past. However, the state has recently designated an Office of Planning and Program Development to conduct social services planning. It was in the process of being staffed at the time of the site visit. In addition, the Office of Children and Youth is developing an instrument for public completion to determine priorities among a wide range of youth services (including day care) planned for the next program year.

Title XX Planning: A special DSS Title XX Planning Committee consisting of selected program administrators from the Offices of Resource Development, Community Services, and Children and Youth, State Planning Office representatives, and the Governor's Bureau of Finance Management met regularly for 2-1/2 months.

### 3-2 PLANNING PROCESS

Staff from the three offices under the Division of Human Development with child day care management responsibilities (Resource Development, Community Services, Children and Youth) developed the child day care portion of the Title XX Plan and submitted it to the Title XX Planning Committee. The interface of Title XX planning with WIN was reflected in the payment of WIN staff with Title XX funds and the allocation of most WIN money for child day care services. State staff felt there was no substantial difference between pre- and post-Title XX child day care planning.

### 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types & Numbers | Comparison |
|---|---|---|---|---|
| Total number to be served | yes | yes | 2,917 children | 12% more |
| Population categories to be served | yes | yes | AFDC-WIN (640) AFDC-non-WIN ( (1,517); income eligibles, Medicaid. | more |
| Priority Population categories | no | no | not designated in the Plan | same |
| Service Provider Types | no | no | --- | -- |
| Special Provider attributes (e.g. hrs of svc) | no | no | --- | -- |
| Geographic Areas | yes | no | statewide | same |
| Dollars allocated for service | yes | yes | $1,465,000 | 44% more |

Planned Organizational changes: None.

## 4. EVALUATION

No child day care evaluations have been conducted.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING INFORMATION AND REFERRAL SERVICES

The state operates a special information and referral program under the auspices of the Office of Community Services. The latter sub-contracts with a private group, the Community Information Center, which provides a statewide, toll-free information and referral "Tie-Line" covering multiple social services including child care. In addition, child care information and referral is provided by SAU-WIN staff, social service workers, income maintenance workers, and voluntary agencies. The information and referral program along with SAU-WIN staff and social service workers were identified as the most heavily utilized information and referral resources.

### 5-2 PROCESS

Assembling Information: Information for all providers is assembled by workers at the local office and submitted to the state Office of Resource Development where it is computerized.

| Provider Type | Systematized | Freq. of Updates | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hrs. | Cost | Avail. |
| Centers | yes | as needed | Yes | Yes | No | Yes |
| Homes | yes | as needed | Yes | Yes | No | Yes |
| In-home | yes | as needed | Yes | Yes | No | Yes |

Disseminating Information: The state computer produces a print-out on providers. It is forwarded to all local offices twice-a-month. Copies are also sent to personnel administering the statewide information and referral "Tie-Line."

In addition to the state's distribution of the computer print-out local offices maintain their own lists, and in most cases, hours of care, availability information and special conditions are included.

Word of mouth, radio and TV announcements, provider and agency personnel, and newspaper ads are all used to make the community aware of child day care services. No organized outreach programs have been established.

Assessing Client Need/Referral and Follow-up: The county social service worker assesses the need for child care based primarily on availability and location criteria. The child's age, family composition, developmental level, and hours of care are important secondary considerations. An assessment can take from 20 minutes to one hour to complete.

There is no uniform statewide referral procedure. At the Sioux Falls local office, the client generally selects providers from the list compiled by the social worker.

Follow-up to ensure the receipt of services is automatic because the worker must sign-off on a client-provider agreement form.

5-3 RESULTS *1

Time period: 3 months

| | |
|---|---|
| Number clients seeking child care referral | 40 |
| Number actively assisted | 36 |
| Number securing their own services | |
| Number unable to secure services | 4 |

*1 No statewide figures are available. Those given are for Sioux Falls.

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

Both the establishment of eligibility regulations and the development of standardized application forms are the responsibility of the Division of Human Development's Office of Community Services. Local social workers are responsible for securing applications and for actual eligibility determination. Contracted providers, with local office verification, may also determine eligibility for child day care services.

### 6-2 POLICY PROVISIONS

Eligible Population Categories

- AFDC-non-WIN
- AFDC-WIN
- Medicaid recipients and eligibles
- Income eligibles are officially defined as anyone whose gross family income does not exceed 60% of the state median income adjusted for family size ($633/month for a family of four). However, the state fee schedule indicates that:
  - Child care is free for those who earn up to 34% of the state median income ($360/month for a four-person family).
  - A sliding fee scale is used for those who earn from 35% to 54% of the state median income (from $361-$572/month for a four-person family).
  - Full payment is required for all those who earn over 55% of the state median income $473/month or more, regardless of family size).

  No former and potential ADC clients were served under Title IV-A. Thus, the newly-developed child day care fee schedule is being applied to day care recipients for the first time.

Additional qualifying conditions include the parent's being employed, in training or physically incapacitated.

Population priorities have been designated in the following order:

1. AFDC-WIN
2. AFDC-non-WIN
3. Income eligibles, medicaid recipients, Title IV-B recipients needing protective services.

Revisions Since the Passage of Title XX: Income eligibles were added as a completely new group; former and potential AFDC clients were not previously eligible under Title IV-A.

Materials to Ensure Uniform Interpretations: General state guidelines are available, but eligibility determination procedures are not standardized and usually left to the discretion of the local social worker. Median income and fee schedules are widely disseminated and used by all workers.

## 6-3 PROCESS AND VOLUME

Applications: Standardized application forms developed by the DSS are used statewide. Local social workers are responsible for securing completed applications.

Neither the total number of social service applications nor the total number of applications for child day care services are available. Approximately 8.5 local FTE were allocated to process child day care applications. State officials considered this to be ample manpower.

Eligibility Determination and Verification: Eligibility for all clients is determined by the local social worker or by contracted providers. If the client is a welfare recipient, the social worker either checks the income maintenance files, requests presentation of a Title XIX card or asks for a letter of entitlement to AFDC. If the client has earned income, wage stubs or third party (employer) verification forms are requested. Protective service eligibles must document the need for protection by citing appropriate information from social worker reports.

Clients usually begin to receive services the day after eligibility has been determined.

The time lapse between application completion and determination of eligibility is, at most, one day. No statewide figures on the proportion of child day care applicants found eligible and ineligible are available.

Quality Control: Clients are responsible for reporting changes in income or status that might affect their eligibility. Social service supervisors also run spot-checks on client records. In general, no standardized quality control procedures are used.

Redetermination of Eligibility: Eligibility is re-determined every six months. It is the client's responsibility to inform the worker of any relevant changes in income or status. Where clients are found ineligible, services are terminated and clients told of their appeal rights.

Appeals: Previous to Title XX, only current AFDC recipients were eligible. This minimized the likelihood of ineligibility and, as a result, there were no clients found ineligible and no appeals in FY '75.

## PARENT FEES

A sliding fee scale developed for child day care clients is used by the local social service worker who assigns the appropriate fee to the client. A sliding fee scale is used for those clients earning between 35% and 54% of the state median income ($361-$572/ month for a family of four).

## 7. LICENSING

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Office of Resources Development in the Division of Human Development has the responsibility for the development and enforcement of day care licensing standards. Actual licensing studies are done at the local level by licensing social workers. Local fire, health and zoning agencies also participate in the licensing process. Licenses are required for family day care homes (non-relative), group day care homes, and day care centers. Approval is required for all in-home care and for family day care provided by a relative.

Staffing: Statewide there are twenty-eight social workers who do licensing. They allocate approximately 60% of their time (17 FTE) to licensing child day care facilities. The remainder of their time is generally devoted to licensing other social service facilities (i.e., foster homes, adult group homes, adult supervised living) and to discretionary monitoring. All social workers have the authority to deny or revoke a license/approval pending approval by their regional supervisor.

The minimum educational background for licensing workers is a B.A. in the behavioral sciences with some coursework in child development.

### 7-2 STANDARDS

Standards Development Process: Current standards for all facilities were developed in 1975 by a committee comprised of staff from the Department of Social Services and Department of Health, selected providers and consumers, and a state day care advisory group. The final standards were based on an investigation and evaluation of other states' standards and FIDCR.

Content of Standards:

Staff-Child Ratios

| | | |
|---|---|---|
| Centers: | | |
| Ages | Ratios | |
| Infancy - 3 yrs. | 1:5 | The maximum allowable capacity is 20; in centers caring for children from infancy to age 3, the maximum is 10. |
| 3 - 6 yrs. | 1:8 | |
| 6 - 14 yrs. | 1:10 | |
| Each center must have a minimum of 2 adults at all times. | | |
| Group Day Care Homes: | | |
| Ages | Ratios | |
| Infancy - 5 yrs | 1:6 | In a group of children with mixed ages, including some under 5 years with no more than two infants, two adults are required. |
| 5 - 14 yrs. | 1:6 plus one assistant | |
| Family Day Care Homes:<br>No more than six children permitted including the provider's own. Exceptions may be made if the home is exceptionally large. No more than two children under 2 are permitted. | | |

The standards for centers and group day care homes also include:

- Facility standards
- A nutritional component
- A health component
- A staff training component
- An administrative component

The standards for family day care homes include all of the above except:

- An administrative component

Comparison of Standards and FIDCR:

For centers and group day care homes, only the staff ratios for 6-14 year-olds meet FIDCR standards. The standards for family day care homes duplicate FIDCR except that FIDCR specifies no more than five children including the provider's own where there are more than two infants; South Dakota mandates a six-child maximum for all age groups. Currently, the federal government has waived the FIDCR standards for staff-child ratios in South Dakota.

In addition, South Dakota does not require evaluation, social service, education or parent involvement components. The current administrative components do not meet FIDCR standards with regard to specificity. However, the health and nutritional components developed in South Dakota compare favorably with FIDCR.

There is no FIDCR certification process instituted in South Dakota.

Interviewees at both the state and local levels felt that most providers were willing to comply with most FIDCR standards except the staff-child ratios. They stressed that reinstatement of FIDCR standards would create severe compliance difficulties for most providers.

## 7-3 SUMMARY OF LICENSING ACTIVITIES

| Service Type | License/Appr. Required | Providers | | % Disq. | Renewal Planned | Freq. Actual |
|---|---|---|---|---|---|---|
| | | Total # | % Lic. | | | |
| Public Centers | -- | -- | -- | -- | -- | -- |
| Private Centers | License | 38 | 100% | Approximately 3% of all these providers | annual | annual |
| Group Day Care Homes | License | 10 | 100% | | annual | annual |
| Family Day Care Homes | License for non-relative; approval for relative | 1,441 | 100% | | annual | annual |
| In-home | approval | 194 | N/A | unknown | annual | annual |

Fees for Licenses: No fees are charged.

Content of License: The license for all providers includes:

- Date of Issue
- Period for which valid
- Maximum number of children to be served
- Age range of children
- Category of license limitations

## 7-4 LICENSING PROCESS

Areas of Investigation: For family day care homes and centers, a licensing study covers:

- Physical characteristics of home or structure
- Provider characteristics
- Provisions for nutritional program
- Verification of child medical clearances
- Provision for handling sick children
- Hours care is available
- Type of child discipline used
- Fiscal arrangements

Group day care homes are included with family day care homes.

Extent and Nature of Process: All known providers must be licensed. Providers are made aware that a license is required by clients, social workers, the Tie-Line and press releases. There is a structured format (a manual from the Office of Resource Development) used for licensing studies of all providers. For homes, one to three visits consuming up to a month are required to complete a study. For centers, three to six visits are required to complete a licensing study; the entire process may consume two weeks to two months. The heavy work load of licensing social workers and an insufficient number of clerical workers is, according to state officals, responsible for the variable rate of completed licensing studies. No regular follow-up is conducted between licensure and renewal.

Conditional Licenses: Because licensing personnel are overburdened, 90% of all providers are issued a conditional license on the worker's initial visit. All day care providers may operate for up to one year on a conditional license. That same license is renewable for up to three years, although the state staff stressed that providers are encouraged to go from conditional to full licensure in one year. State estimates indicate that 99.5% of all conditional licensees are at full compliance at the end of three years. Follow-up after issuance of a conditional license is done at the discretion of the licensing social worker.

After full licensure, no follow-up (aside from annual relicensing) is done, unless a problem is reported or a provider makes a direct request for training and technical assistance. The areas in which corrective action are most needed are proper furnace insulation and secondary exits.

Revocations: The following procedure is followed for license revocation:

- Written notice sent to the provider
- Provider has 30 days to protest
- Upon protest, the agency must have fair hearing within 30 days
- The facility is closed if the appeal fails

The state estimates that only one or two licenses were revoked in FY '75.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

Responsibility for monitoring is shared by four groups within the DSS. The state Office of Resource Development (ORD) is responsible for monitoring all statewide licensing studies (paper review) conducted each fiscal year. Social workers stationed at local ORD offices are assigned to monitor providers for licensing compliance. In addition, supervisorial staff at the local branches of the Office of Community Services (OCS) are responsible for monitoring the accuracy of client eligibility determination and services appropriateness. Finally, the state Office of Program Services' Quality Assurances and Control (QAC) Unit was designated to monitor the general effectiveness of management and service delivery at the local level, beginning with the first Title XX program year.

The state agencies involved in monitoring (ORD and QAC) allocate approximately 2.5 FTE to child care monitoring. State ORD personnel spend less than 50% of their time monitoring child care, while state QAC spend the majority of their time monitoring multiple social services including child care.

The two local groups (regional ORD and OCS units) spend less than 50% of their time monitoring social services. No FTE estimate is available.

Respondents felt that only the state QAC Unit had adequate manpower allocations.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

| Type of Monitoring Activity | By Whom Monitored | Percent Monitored | Frequency | Av. Time per unit |
|---|---|---|---|---|
| Review of Licensing Studies | State Office of Resource Development | 12% | annually | 2-3 hrs. |
| Management and Services Delivery Effectiveness | State Quality Assurance and Control Unit | 100% of all local offices | annually | unknown |
| Monitoring Providers for Licensing Compliance | Local Office of Resource Development Social Workers | unknown | as needed *1 | unknown |
| Monitoring local offices for accuracy of eligibility determination of services appropriateness | Local Offices of Community Services supervisorial staff | unknown | random | unknown |

*1 In accordance with state policy, monitoring of providers is conducted at the discretion of the local social worker. This is to be distinguished from relicensing studies which are conducted annually by the same social worker under state mandate.

## 8-3 PROCESS

Where providers are monitored (by state ORD and local ORD social workers), the same checklist used for licensing studies serves as a guideline. Where management functions are monitored (by State QAC Unit and regional/local Offices of Community Services), job-specific methodologies systematize the monitoring effort.

For all groups conducting monitoring, scheduled site visits are the dominant strategy used.

No formal monitoring policies governing actual practices have been established.

## 8-4 RESULTS

Some state and local staff reported that "a very small percentage" of providers are out of compliance with state standards. Others felt that approximately 15-20% were out of compliance.

The areas of greatest compliance difficulty cited by both state and local respondents were finding adequate facilities, meeting FIDCR staff-child ratios (when they are reinstated), and developing an adequate health component (particularly in rural areas).

The standard follow-up actions for provider non-compliance are:

- Written notification of area(s) of non-compliance sent to provider
- Target date set for achieving compliance
- A follow-up visit is made to check progress
- If compliance progress has not been made, technical assistance may be offered
- In extreme cases, funds are withheld and the facility closed

Because provider monitoring visits are infrequent and discretionary, and because provisional licenses may be extended for three years, follow-up actions (as distinct from relicensing) are rarely taken.

Where local management functions are monitored, written reports are forwarded to the appropriate (ORD) Regional Program Administrator (RPA). The RPA, after reviewing the monitoring reports, may recommend specific follow-up actions.

Monitoring results are used to help determine the degree and substance of technical assistance provided by the state.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: Responsibility for providing training and technical assistance is split among four offices within the DSS. Three offices - the Office of Resource Development, Office of Community Services and Office on Children and Youth are within the Division of Human Development. Each provides management training and technical assistance to state and local staff. Each has a separate training specialist and all but the Office on Children and Youth have Regional Program Administrators who deliver training and technical assistance services. The fourth office, the Office of Program Services, is a centralized support body within the DSS. Its Staff Development and Training Section provides management training to state and local staff through a designated training specialist. It is estimated that 1/10 FTE staff members are allocated for child day care-related training and approximately 1/7 FTE staff members are allocated to provide child day care technical assistance from all these groups in FY '76. About $5000 (4% of the training budget is slated to be spent for child care training. No sum has been budgeted for technical assistance.

Local: Local Office of Resource Development social workers are responsible for providing training and technical assistance to providers at the local level. The time allocated to child care training for FY '75 at Sioux Falls totalled 1/12 FTE; the total time allocated for technical assistance was 1-1/4 FTE. No money is specifically budgeted for either of these activities.

Staff Background: The requirement for state and local personnel providing training and technical assistance is an M.A. in social work or a related field.

### 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Licensing Social Workers | ORD Training Specialist and RPA's | Training on how to utilize the Social Services Information System; familiarization with licensing requirements | 100% of all local offices |
| Local Social Workers | ORD, OCS, and OCY Training Specialists and RPA's, along with the OPS staff Development & Training Section | Joint and separate sessions on utilizing the Social Services Information System; on child development and basic child day care principles | 15 days/local office (100%) |

Provider Training and Assistance

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Centers<br>Homes<br>In-home Care Providers | Local ORD Social Workers | Assistance on:<br>- Nutrition<br>- Licensing requirements<br>- Child development principles<br>- Billing instructions | 100% of all providers with 2-3 hours allocated per site |

## 9-3 PROCESS

Identification of Need for Training and Technical Assistance: The methods used to identify training and technical assistance needs include:

- When changes in policies and procedures occur
- Recurring questions received in the field
- Surveys of provider needs
- Through licensing/approval or relicensing studies

Providers were identified as the single group with the greatest need for training and technical assistance. Their major needs are in the areas of child development, parent relations, nutrition, child discipline and dealing with public agencies.

Seminars and workshops are the methods used to deliver training, while site visits, telephone calls, and newsletters are the main means of providing technical assistance.

## 9-4 RESULTS

State and local respondents felt that given the limited amount of staff time and money available, a great deal of training and technical assistance was provided to local staff and providers. Except for supervisorial assessments of staff ability to fulfill SSI reporting requirements (where learning/non-learning is relatively evident), no systematic follow-up to training and technical assistance is conducted. Consequently, state and local interviewees were unable to comment on the effectiveness of training and technical assistance efforts.

## 9-5 TRAINING AND TECHNICAL ASSISTANCE MATERIALS

These include:

- A Handbook for Family Day Care Homes
- Typical Developmental Behavior Patterns of Children

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

State - Fiscal management is performed primarily by one programmatic office (Office of Community Services) within the Division of Human Development. It provides fiscal support for all social services including child care, with secondary input from a centralized departmental office (Office of Management Services).

Local - There is no unit responsible for fiscal management at the local level. All fiscal responsibility rests with the state offices.

Function: The primary state fiscal unit (Office of Community Services) determines actual program expenditures through the joint efforts of program and fiscal personnel. Projected costs of new or revised programs are finalized here. Secondary support from the Office of Management consists of accounting for funds and completing federal claims.

### 10-2 FISCAL MATERIALS

The full array of fiscal materials, except for line item budget formats and audit report forms, have been developed. Most have been prepared by the Office of Community Services. The majority are rated good except for regulations and attendance forms which are rated excellent; contract forms developed by the federal government were rated fair.

### 10-3 INCOME SOURCES

| Source | FY 74-75 amt./% | FY 75-76 amt/% |
|---|---|---|
| Title XX/IV-A | not available | $1,049,000<br>(72%) |
| WIN | | 346,000<br>(24%) |
| CWS | | 70,000<br>(4%) |
| Other | | |
| TOTAL | | $1,465,000<br>(100%) |

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | FY 74-75 Expenditures |
|---|---|
| Purchase of Service (contracted) | $1,014,712 |
| Direct Provision/Operation | none |
| Vendor Payments | none |
| Client Purchase, with social service funds | none |
| Client Purchase, with income maintenance funds | none |
| TOTAL | $1,014,712 |

Description of Funding Methods/Processes:

A. Purchase of Service: All child care services are purchased. The expenditure by provider type for FY 74-75 is as follows:

| Provider Type | Expenditures FY - 75 |
|---|---|
| Centers | $ 213,089 |
| Family Day Care | 669,709 |
| In-home care | 131,914 |
| TOTAL | $1,014,712 |

Written contracts currently contain nine of the thirteen required Title XX components that are used for all providers. In addition, a more streamlined, standard contract is used where purchase involves donated funds to serve income eligibles.

No large scale sub-contracting is undertaken.

All contracts are managed by the Office of Community Services.

Quality control procedures used in paying provider invoices include:

- Provider request for payment goes to local office where it is checked against attendance records.
- If OK'd, the invoice is sent to the state where it is keypunched into the computer and cross-checked with existing computer records. If the computer check identifies an inconsistency, payment is held up until the conflict is rectified.

- State officials stated that there have been no cases of overpayment since fiscal computerization. Thus, no corrective procedure has been developed.

B. Direct Provision: None.

C. Client Purchase: None.

10-5 RATE ESTABLISHMENT

Unit of measurement: Per child full time (i.e., 9 hrs./day)

| Provider Type | RATES | | |
|---|---|---|---|
| | Basis | Average | Range |
| Centers | Rates charged by similar facilities for same services | $67/mo | $37/month to $69/month |
| Family Day Care Homes | | $65/mo | |
| In-home | | $42/mo | |

Maximum rates permitted: 50¢/hr./child; $94.50/month for one child; $147/month for two; $189/month for three or more.

In-home care: In-home care (full-time) must be provided by a relative (to get around minimum wage). In-home care may be provided by a non-relative up to a maximum of 20 hrs./week.

Income eligibles and parent fees: Officially, eligibles earning up to 60% of the state median income are served free or on a sliding fee scale. In practice, the sliding fee scale is not applicable to clients who earn over 54% of the state median income. Parent fees collected are used to reduce the cost of billings.

Donations: No donations were received in FY '75.

# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The Department of Human Services (DHS) is the designated state services agency. Within the department the Division of Social Services is responsible for overall program administration and direction, policy development, program consultation, training, program monitoring, and evaluation for all Social Services. The Division of Community Services is responsible for the administration of all purchase of services contracts with Title XX funds.

Fiscal management is the responsibility of the Fiscal Services Unit of the Administrative Services Division within the Department of Human Services. The unit has responsibility for expenditures, policy development, rate setting, and resources allocation. Fiscal and program staff work together on budget and policies.

Statewide, there are 12 regions and 95 counties with each county administered by a Director. Field supervision is handled through the 12 regional offices.

The State Licensing Unit is responsible for licensing activities. There are 35 state licensing workers. The workers are supervised by either a day care supervisor or a social service supervisor in the 12 regions.

Eligibility determination is performed by social services counselors, located in the county office.

The child care service at the local level is handled through I & R services and by the direct services and community services staff.

## 1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

| | Expenditures FY 74-75 | Allocations FY 75-76 |
|---|---|---|
| Total Social Services Funds (Titles IV-A/XX) | 31,713,449 | 49,233,286 |
| Total Child Care Funds (Titles IV-A/XX) | 10,917,932 | 5,725,080 |
| Percentage of Total Social Services Funds Allocated to Child Care | 34% | 12% |

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The Tennessee site visits were conducted in February, 1976. Interviews were held with ten state staff members of the state programmatic and implementation staff in the Nashville office.

The FY 75-76 figures were taken directly from the Tennessee Title XX plan. The child care figure shown is for child day care only; in addition, the plan provides for $2,798,516 for adult day care, for a combined figure of $8,523,596.

In contrast to the Title XX figures shown above, respondents provided an estimated expenditures budget for all social services and for child day care, as shown below:

| | Estimated expenditure budget FY 75-76 |
|---|---|
| Total social services budget | 37,784,048 |
| Child care budget | 15,353,000<br>(41%) |

This child care figure was derived, by the respondents, from actual expenditures during the first quarter (i.e., over $5 million has already been expended for child day care during the first quarter). When the quarterly expenditure is annualized, the proportion to be spent for child care is 41% rather than the 12% as shown in the Title XX plan.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Sanctioned* Providers | Number FFP Children | Actual Expenditures FY 74-75 | Anticipated Expenditures FY 75-76 |
|---|---|---|---|---|
| Public Centers | 1,007 | 47,854 | 5,196,845 | NO BREAKDOWN BY PROVIDER TYPE |
| Private Centers | | | 5,717,010 | |
| Group Day Care Homes | 106 | 1,266 | | |
| Family Day Care Homes | 242 | 1,681 | 590,890 | |
| In-Home Care | 110 | 221 | 292,570 | |
| TOTAL | 1,355 | 51,022 | *1<br>11,797,315 | *2<br>15,353,000 |

*Includes all licensed, approved or otherwise sanctioned providers.

*1 FY '75 figures include approximately 560,968 in WIN funds allocated for child care.

*2 FY '76 figures include approximately 664,290 in WIN funds allocated for child care.

The proportion of total social service staff time allocated to child care is not available. FTE's involved in child care at the state level is approximately 8% F.T.E.

## 1-4 INFORMATION SYSTEM

Nature of Records:

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | yes | The family with the child listed as the service user | local |
| Standardized social service forms | yes | The family with the child listed as the service user | local |
| Computerized records | no | -- | -- |

Extent of Data: Information pertaining to client data, identifiers, goal data, and eligibility status is manually compiled. Complete information on service delivery, costs, and demographic descriptors is available at the county level. Narrative social services records contain data on client identifiers and status of eligibility. Cost data is recorded partially in income maintenance records.

Data Aggregation: Aggregation of data occurs at the state level where monthly reports are generated reflecting numbers of children served, services rendered, and fiscal information relating to costs.

There is no computer system in use at the present time. State personnel feel that the manual operation presents a major problem in that the accuracy of daya compiled becomes questionable. Another constraint is the time in compiling and returning data information back to the counties. A computerized system for aggregation of data is forthcoming.

## 1-5 STATUTES

None

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

State respondents consider the expertise and dedication of field staff a major asset in maintaining the high quality of their service delivery system. Being state administered and operated, the possibility of credibility gaps are felt to be almost nil by state personnel.

However, a general opinion is that the licensing law does not ensure that providers and parents are subjected to sufficiently stringent monitoring activities, in relation to securing physicals submission of monthly reports on time, etc.

Local staff are concerned with the lack of on-going program and child development training seminars that would enhance field staff effectiveness.

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Planning and Evaluation Division of the Department of Human Services was responsible for the needs assessment study for the Title XX plan, including child care. There was a state Title XX Task Force and sub-state Task Forces involved in the assessment of needs.

As assessment of service needs was completed by twelve regional and urban county Planning Task Forces, utilizing data from a variety of sources, including: county offices of the Department of Human Services, public and private agencies, regional and local planning organizations, citizens, and consumers of service. Data from these assessments were subsequently merged into the composite report for the state.

### 2-2 PROCESS

Scope:

| Sources of Information | Extent Utilized | Strategy |
|---|---|---|
| Documentary Sources | Extensively Used | Prior Human Services data reflecting service usage. |
| Agency Personnel | Utilized to some extent | Social Services Administration staff; Inter-departmental Human Services personnel; United Way staff, & community representatives. |
| Service Providers | Extensively Used | Major input in service areas; providers were involved on an on-going basis. |
| Consumers | Limited Usage | Notified through outreach programs and meeting notification. |
| General Public | Limited Usage | Media notification. |

It was reported that more time was needed to do an effective and comprehensive assessment of all needs. Although services were added, and some service definitions were consolidated and changed, the total identification of unmet needs, especially in rural communities, was not accurately assessed.

## 2-3 RESULTS/UTILIZATION

Specific Numerical Results Were Generated In Relation To: Objectives, goals, and total numbers to be served. Some services were added and consolidated. Definitions of service areas were changed.

Degree of Integration Into Planning Process: The percentage of those eligible for service, for reasons other than being an income maintenance or medicaid recepient, was increased.

Unmet Needs: The major unmet need was identified as the absence of providers in specific rural and semi-rural communities in the state.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION AND LEVEL OF EFFORT

On-going Planning: Social services planning is the responsibility of the Division of Planning and Evaluation within the Department of Human Services.

Title XX Planning: Responsibility for coordinating the planning of the state social services program was assigned to the Division of Planning and Evaluation. This division also coordinates planning for the other programs of the Department of Human Services. In addition, assisting the division was a state Planning Task Force composed of a representative from each regional and urban county Task Force and a representative from each of the state human services agencies.

### 3-2 PLANNING PROCESS

The regional or urban county manager, in order to discharge the services planning function, involved consumers of services and citizens in the assessment of services needed. Activities included inventorying the services available to meet these needs, establishing program objectives for meeting these needs, selecting an array of services to achieve the program objectives, setting service priorities, and defining the resources to be used in funding new services or service improvements.

### 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types and Numbers | Comparison |
|---|---|---|---|---|
| Total number to be served | yes | yes | 44,428 | more |
| Population Categories to be served | yes | no | AFDC, income eligibles within 80% median income | more |
| Priority Population Categories | no | no | -- | -- |
| Service Provider Types | no | no | -- | -- |
| Special Provider Attributes (e.g., hrs. of service) | no | no | -- | -- |
| Geographic Areas | no | no | -- | -- |
| Dollars Allocated for Child Care Service | yes | yes | 5,725,080. * | less |

* This figure was taken from the Title XX plan.

Planned Organizational Changes: None.

### 3-4 UTILIZATION/IMPLEMENTATION

Increased the number of children to be served.

## 4. EVALUATION

NO CHILD CARE EVALUATIONS HAVE BEEN CONDUCTED.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

There is no state I & R service. Each county is responsible for providing I & R services to clients. The I & R field supervisor, I & R screener and intake worker, within the Social and Community Services Division, are responsible for information and referral services.

### 5-2 PROCESS

Assembling Information

| Provider Type | Systematized | Freq. of Updates | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hrs. | Rates | Avail. |
| Centers | yes | Every 4 months | yes | yes | yes | yes |
| Homes | yes | Every 4 months | yes | yes | yes | yes |
| In-home | yes | Every 4 months | no | no | yes | no |

The I & R field supervisor, I & R screener and intake worker, assembles and updates information for distribution to county staff members.

Disseminating Information: It was reported that staff members are involved in community meetings, groups sessions and serve as a catalysts by which service availability information is filtered throughout the community.

The respondents indicated that there is no operational framework from which an outreach program can be launched.

Assessing Client Need/Referral & Follow-up: The I & R screener and intake workers are primarily responsible for making the assessment of child care needs. This assessment is made based on the child's age, personality or developmental level, hours of care, location, and the composition of the family. The parent makes the ultimate decision of provider with assistance from the worker.

Client-worker contact varies by client type (AFDC, WIN, SSI), and CWS clients are usually assisted by two workers (intake and junior social service counselor). Income eligibles have contact with the I & R screener and junior social services counselor. The assessment process takes about 2 hours.

## 5-3 RESULTS

Time period: 3 months - KNOX county only.

| | |
|---|---|
| Number clients seeking child care referral | 36 |
| Number actively assisted | 15 |
| Number securing their own services | 9 |
| Number unable to secure services | 10 |

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

Policies and regulations which govern the definition of client eligibility determination are established by Community Services and Direct Services staff at the state level. Local level Community Services and Direct Services staff are responsible for securing applications and actual determination of eligibility. Guides are available to assist field staff in interpretation and implementation of policies.

### 6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC-non-WIN
- Mentally disabled, elderly and handicapped
- CWS recipients
- SSI
- Income eligibles, defined as:
  - Families and individuals whose annual income is below 70% of the state's median income, (966/mo for a family of four) or 88% if physically or mentally disabled.
  - Free care for families earning up to 46% of the state median income;
  - Sliding fees for families earning from 46% to 70% (or 80% if disabled) of the state median income;
  - Full cost to families earning over 70% (or 80% if disabled) of the state median income.

Revisions Since Title XX Passage: None.

Materials to Ensure Uniform Interpretations: Guides have been developed and distributed. They were developed by the state Community Services and Direct Services staff to ensure statewide uniformity.

### 6-3 PROCESS AND VOLUME

Applications: Standard application forms have been developed by Community Services and Direct Services staff and distributed throughout the state to intake workers and I & R screeners.

In Knox County, for calendar year '75, about 5,076 applications were received for all social services. About 12% of these were for child care. Locally, 1 FTE is annually allocated to process child care applications. This is considered ample manpower.

Eligibility Determination and Verification: Client applications are secured and completed by the junior social services counselor at the county level with information obtained from the client. For AFDC, WIN, and SSI recipients, the counselor checks the records for verification of status. For income eligibles, a pay stub or other verification is required. The determination process for AFDC, WIN, and SSI recipients must be completed in 3 days. For income eligibles, the process must be completed in 10 days. Services may begin immediately upon determination of eligibility.

Quality Control: The client is responsible for reporting any change in income that would affect eligibility status. No standard quality control procedures have been established.

Redetermination of Eligibility: Eligibility redetermination is required at least every six months. The same procedure utilized in the initial determination is used for redetermination. Where clients are found ineligible, services are terminated and clients are told of their right to appeal.

Appeals: In the past year only 3 appeals were filed statewide. All were denied.

## 6-4 PARENT FEES

Persons with income between 46-70% (or 80% for physically or mentally disabled) of the state's median income pay on a sliding fee scale.

Persons with income in excess of 70% and 80% of the state's median income must assume total cost of their child care.

## 7. LICENSING AND OTHER SANCTIONS

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Licensing Unit within the state Social Services Division is responsible for the development and enforcement of all day care licensing standards for centers and homes. Local fire, zoning, health, and environmentalists are also involved in the licensing process.

Workers under county social services supervision are responsible for conducting the licensing studies.

A license is not required for home care where four or less children are present. When care is purchased by the Department from a family day home with less than five, the home must be approved as meeting licensing standards.

Staffing: Statewide there are 35 licensing workers (with supervision under the direction of either day care supervisor or a social services supervisor) who spend 60% of their time licensing homes and centers statewide. The remainder of their time is devoted to monitoring for licensing compliance, providing technical assistance to providers, recruiting new facilities, and providing information on licensing requirements. All licensing workers are authorized to recommend license denials and revocations, with final authority vested in the Commissioner's Office.

Minimum qualifications for day care licensing workers include: graduation from an accredited 4 year college, successful completion of 1 year of study in social work or graduate study in the field of child development, and 1 year of full-time paid employment in day care services for children. Day care supervisors must have all of the above plus two (2) years of full-time paid employment in day care.

### 7-2 STANDARDS

Standard Development Process: The standards for centers were up-dated in 1973. A commissioner appointed citizens advisory group (mandated by law) developed and recommended standards. Ninty days were allowed for feedback from providers and consumers. The identical process was utilized in up-dating group day care standards in 1972 and family day care home standards in 1973.

## Content of Standards:

### Staff:child Ratios

| Centers: | Ages | Recommended Ratios | Required |
|---|---|---|---|
| | 3 years | 8:1 | 10:1 |
| | 4 years | 10:1 | 15:1 |
| | 5 years | 15:1 | 25:1 |
| | 6 & older | 20:1 | 30:1 |
| | 3 yrs. - 5 yrs. | 12:1 | 15:1 |
| Group Day Care Homes: | Eight or more children under 17 years of age. 1:8 | | |
| Family Day Care Homes: | Up to 5, 6, or 7 children. 1:7 Including the provider's own child.<br>The staff:child ratio is 1:4 if more than 4 children are under 3 years of age, including the provider's own child. | | |

Additional Components of Standards: The Tennessee licensing standards include: requirements that centers have a governing board (when non-profit), admission standards, financial capability, records and reports, staff qualifications, equipment for children, program activities, health, nutrition, physical facilities, and special standards for care of infants and handicapped children.

For group day care homes and family day care homes, administration, staff, admission standards, program activities, buildings, grounds and equipment, health, and nutrition are required.

Comparison of Licensing Standards With FIDCR: For centers the state staff:child ratio is below that of FIDCR. The groupings of children are not as stringent as FIDCR, and under the state's licensing law, no social service component is required. According to respondents, the difference is that the state's are minimal standards, where FIDCR established standards are closer to maximum.

The extent to which FIDCR requires health and medical resources is deemed overlapping, since ESDTP and Title XX both supply services for children.

It is estimated that less than 30% of providers in Tennessee are willing to comply with FIDCR. Without additional funding to defray the costs of FIDCR compliance, a number of providers have withdrawn, with more threatening to withdraw when FIDCR standards are enforced. To date, a waiver has been granted until February 1, 1976.

## 7-3 SUMMARY OF ACTIVITIES

| Provider Type | Sanction Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total# | #Sanctioned | %Disq. | Planned | Actual |
| Public Centers | License | 1,007 | 1,007 | UNK | Annual | Annual |
| Private Centers | | | | UNK | Annual | Annual |
| Group Day Care Homes | License | 106 | 106 | UNK | Annual | Annual |
| Family Day Care Homes | UNK | 242 | 242 | UNK | Annual | Annual |
| In-Home | UNK | 110 | 110 | UNK | N/A | N/A |

Fees for Licenses: A $2.00 fee is charged for a license for both centers and homes.

Content of License: The license for both centers and day care homes include:

- Date of issue
- Period valid and/or expiration date
- Maximum number of children to be served
- Name of provider
- Location
- Class A, B, or C license (See process below)
- Type--either annual or temporary

When an agency meets the minimum requirements, an annual license is issued. Value points received from meeting the desirable standards are counted in determining whether the agency received a class A, B, or C license: 75-100 points = Class A license, 50-74 = Class B, 0-49 = Class C license.

## 7-4 LICENSING PROCESS

Areas of Investigation: For family day care homes, group day care homes, and day care centers, a licensing study covers:

- Physical characteristics of building
- Provider characteristics
- Provisions for educational and nutritional components
- Provisions for handling sick children
- Attendance records on staff and children

Extent and Nature of Process: The licensing process in Tennessee consists of the applicant completing a formalized instrument and verification by the licensing worker. The worker assigns a score to each area in the instrument. For Centers: Organization and administration, staff (personnel) policies, staff qualifications, staff:child ratio, equipment for children (chairs, tables, shelf space, individual lockers, education and play equipment), program activities, health (staff and children), nutritional needs, physical facilities, facilities for the care of infants and handicapped children are included in the instrument. For FDCH's, Administration, staff qualifications, records, physical environment, program activities, health (staff and children), and nutrition are included. For GDCH's, Staff qualifications, records, indoor facilities, outdoor space, program activities, health, and nutrition are included.

All known providers (except FDCH's serving fewer than 5 children) must be licensed. About 90% of the providers hear that a license is required through word of mouth, and others find out from media sources, agency workers, and community groups. To conduct a study of day care homes an average of two visits are made within the two week study period. For center studies, about 5 visits are generally required within a 6 week period of time before a license is issued.

For Family Day Care homes the dominant problems in meeting the licensing requirements are: Medicals on children and play equipment. For centers and group day care homes, fire inspections, staff qualifications, space and equipment, nutrition, staff:child ratios, care of infants, and medicals on children were cited as problems.

Centers are issued temporary licenses with scheduled compliance follow-up visits made. Physicals for children present minor problems, because parents are obligated to secure physicals, and often do not obtain physicals when scheduled.

Conditional or Temporary Licenses: A temporary license is issued when an agency is unable to comply with all of the requirements, but intends to do so and has a plan to meet requirements. This is formalized by a letter sent to providers, signed by the Commissioner, listing the unmet requirements. Visits are made at least quarterly to each agency with a temporary license to assure that the progress is being made toward meeting minimum requirements long before the next license is due. Visits are made more often if areas of non-compliance are deemed more serious. An operator may operate on a temporary license up to two years at one year intervals. In the past year, 253 temporary licenses were issued statewide, most for environmental, equipment, and fire hazards.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

The Day Care Licensing Unit within the Department of Social Services has overall responsibility for monitoring licensed providers. The Social Services Division monitors all social services, including child care services purchased from other agencies.

These units have state staff persons located in local offices. Reports are submitted either monthly or quarterly. There are no formal instruments for monitoring. Local Community Service representatives monitor 18 or the 21 state plan purchased services, including child care, whereas licensing staff monitor licensed facilities only (both homes and centers).

There are 35 licensing workers statewide (not including the Community Services monitors) who monitor child care. Staff allocations are considered adequate by some state officials. Local day care personnel feel that additional staffing would assure a higher quality of monitoring.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

(Knox county only)

| Provider Type | Total Number | Proportion Monitored | Average Frequency | Av. Time Per Unit |
|---|---|---|---|---|
| Child Care Centers | 114 | 100% | Quarterly | 3-5 hours |
| Family Day Care Homes | 68 | 100% | Quarterly | 1-2 hours |
| In-home Care | 9 | 100% | Quarterly | 1 hour |

The preceeding information was collected at the local child care management study site. Information on monitoring activities was unavailable statewide.

### 8-3 PROCESS

State officials could not determine numbers of providers out of compliance with state licensing standards. The respondents in Knox county indicated that no providers were out of compliance.

The areas most difficult to comply with, according to local respondents, are staff-child ratios and a "good" process for providers concerning record keeping, hiring procedures, training, and retaining adequate staff.

Scheduled site visits are the method used for monitoring.

The procedure for informing providers who are out of compliance:

- Provider notified of non-compliance by letter
- Follow-up date set for visit by worker
- Court action and appeal process initiated
- Children withdrawn and license revoked

Generally, before the appeal process takes place, all efforts are made to provide technical assistance from a state licensing worker who assists the provider in meeting standards. No revocations occurred, which state and local respondents indicated is a tool to measure the staff/provider relationship.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The Division of social services has the responsibility for training and technical assistance under the Division of Employee Development Office. Primary responsibilities are the development of guides for training new employees and coordination of training with colleges and universities for staff. This unit does not do training and technical assistance for child care specifically, but the entire social services system. Less than 5% FTE's annually is spent in training and technical assistance related to child care.

Local: Locally the Services Supervisor is responsible for the provision of training and/or technical assistance. Of the time allocated to T & TA, about 20% is spent providing training while 80% of the is spent providing technical assistance. Local officials consider this to be ample staff allocations. No money was specifically budgeted for either of these activities.

Staff Background: State level - Qualifications for Program Specialist III are MSW degree (defining qualifications), supervisory experience and ability to work with people, and early childhood development knowledge. Local level - Qualifications for service supervisor (Field Supervisor I) are B.A. degree, ability to define and identify problems, and experience in early childhood development.

### 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Local Staff | State Staff | Workshop for field staff Aids on child care and child development to local staff | UNK |
| Local Staff | State Staff | To social service staff, intake procedures, awareness seminars, productive service delivery | UNK |

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Provider Training and Assistance

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Centers | Local Staff | To providers on nutritional, health maintenance, and some child development information | 2 hrs. weekly |
| Homes | Local Staff | To providers on nutritional, health maintenance, and some child development information | 2 hrs. weekly |

## 9-3 PROCESS

The methods used to identify training and technical assistance needs include:

- Monthly reports from field staff
- Staff requests for services
- Qualifications of staff and providers

Licensing workers and providers were identified as the groups with the greatest need for training and technical assistance. It is felt that if workers are better trained and informed, a broader outreach program and the quality of service delivery could be improved.

It was felt by respondents that providers needed training and technical assistance on behavior patterns of children and parenthood education. Child development, program development, and goal identification and achievement, were also cited as areas that need improvement.

## 9-4 RESULTS

State officials feel that the absence of an evaluative tool to determine effectiveness of training and technical assistance is a definite hindrance.

# 10. FISCAL MANAGEMENT

## 10-1 ORGANIZATION

Structure:

State: The fiscal function is performed by the Division of Fiscal Services within the Department of Human Services. It provides fiscal support for all units within the department.

Local: There is no unit responsible for fiscal management at the local level. All local fiscal information is forwarded to the state Fiscal Unit for processing.

Function: The state Fiscal Unit functions primarily as a support unit. It was reported that the policies developed by the Division of Fiscal Services Unit were coordinated with program personnel.

The Fiscal Services Unit has total responsibility in controlling expenditures and the maintainance of records and documents for purposed of control. Major activities include the processing of claims for the agency's multiple social serivces program. The Division has established a Fiscal Services Audit Unit to conduct audits on purchase of service contracts.

## 10-2 FISCAL MATERIALS

All materials other than audit report forms are available and regularly used. Most were developed by the fiscal and program staff in the Department of Social Services. There is a comprehensive fiscal policies and procedures manual for third party agencies and other contractors. This manual is being used extensively with success. State personnel rate all materials as excellent.

## 10-3 INCOME SOURCES

| Source | Amount/% FY 74-75 | Amount/% FY 75-76 |
|---|---|---|
| Title XX/IV-A | $10,917,932<br>(93%) | $5,241,980 |
| WIN | 672,361<br>(.05) | 186,410 |
| CWS | | 29,375 |
| Other: State | 78,177<br>(.006) | |
| TOTAL | $11,797,315 | $5,457,765 |

* 1st Quarter (ACTUAL) Expenditures

* Note that FY 75-76 figures are actual first quarter expenditures and do not constitute a total for FY 75-76. It is apparent

that the full year's expenditures will greatly exceed the amounts shown for child day care in the Title XX plan.

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| METHOD | Expenditures FY 74-75 |
|---|---|
| Purchase of Service<br>Contracted Facilities | $9,430,876 |
| Vendor-Paid Facilities | 2,237,594 |
| Direct Provision/Operation | 128,845 |
| Client Purchase with Social Service Reimbursement | none |
| TOTAL | $11,797,315 |

Description of Funding Methods/Processes:

A. Purchase of Service: Child care services are purchased through vendor payments to providers, including centers, homes, and in-home providers.

The contract management is conducted by a variety of units within the Department of Human Services. The procedure for contract implementation is as follows:

- Developed by the Legal Department
- Reviewed by Social Services program staff
- Final review by Fiscal Services
- Signed by the Commissioner

| Provider Type | Contracts | | Expenditures |
|---|---|---|---|
| | Written? | Comprehensiveness | |
| Centers | yes | Covers everything | 10,913,845 |
| Family Day Care | yes | Covers everything | 590,890 |
| In-home Care | yes | Covers everything | 292,570 |
| Group Day Care | yes | Covers everything | UNK |

Quality control procedures:

- Audits by program staff
- Fiscal audit annually
- Spot check of client records against vouchers submitted monthly by providers

There is no large scale sub-contracting of child care services.

B. Direct Provision: The state directly operates one child day care center. Payment is reimbursed based on actual expenditures of cost. Payments are processed through the state's accounting system.

C. Client Purchase: None.

## 10-5 RATE ESTABLISHMENT

| Provider Type | RATES | | |
|---|---|---|---|
| | Basis | Average | Range |
| Centers | o Analysis of necessary costs<br>o Rate charged other day care centers in the community<br>o Rates charged ineligibles in same facility | UNK | $16-$20 weekly |
| Family Day Care Homes | o Rates charged by similar facilities<br>o Rates charged ineligibles in same facility | N/A | $20 weekly flat fee |
| In-home | o Rates based on state cost analysis (WIN only) | N/A | $12.50 1st child<br>8.00 2nd child<br>30.00 max. per child |

## 10-6 IN-HOME CARE

Only children of WIN participants are eligible for in-home care. Rates have been established for in-home care up to $12.50 per week. Relatives are eligible for reimbursement as in-home providers.

## 10-7 INCOME ELIGIBLES AND PARENT FEES

Income eligibles, families whose annual gross income is below 46% pay no fees. Families whose annual gross income is between 46% and 78% (80% for mentally retarded or physically disabled) pay on a sliding fee schedule. All above 70% or 80% must pay full cost.

## 10-8 DONATIONS

Donations for FY 75 totalled $2,403,010 from public and private donors.

## 1. OVERVIEW

### 1-1 ORGANIZATION

Administrative Model: State-administered

Description of Administrative Structure: The Department of Public Welfare (DPW) is the state's designated Title XX agency (free-standing). The DPW consists of two program divisions and two centralized support services divisions.

Responsibility for administering the state Title XX program lies within one of the program divisions, the Office of Financial and Social Programs, which is sub-divided into Financial Services and Social Services Branches. The Child Development Program Unit, specifically charged with managing the state day care program, is contained within the Social Services Branch.

Responsibility for licensing day care is given to the DPW Licensing Division which is responsible for licensing all out-of-home facilities based on state licensing standards. It is empowered to license all institutional social services facilities in the state, including child day care facilities serving non-FFP children. All out-of-home child day care facilities serving FFP eligibles are certified for compliance with FIDCR standards by special personnel within the Child Development Program Unit.

Four special divisions within the Social Services Branch provide supportive services exclusively to the branch's social programs in the areas of evaluation, policy development, contract management, program management, and fiscal support. One of these divisions, the Program Support Division, provides centralized fiscal support to social services management personnel who ultimately make both program and fiscal decisions. Another fiscal body, the DPW Fiscal Division conducts final budget reviews, compiles departmental fiscal reports, and prepares monthly reimbursement bills.

Because the state is so large, the DPW is committed to decentralized management. As a result, it has established ten DPW regions; each regional jurisdiction encompasses a central office and local offices in municipalities throughout the region. The regional administrator reports to the DPW Deputy Commissioner and is responsible for coordinating and planning all DPW services in the region. A subordinate regional director for social services is responsible for program operations and implementation as well as final client eligibility determination for all social service programs. Direct client services, including the initial determination of client eligibility, are provided by the local DPW services staff (primarily social workers and eligibility workers).

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The Texas site visit was conducted in November, 1975. Interviews were held with state personnel and local personnel in Tarant County.

Local offices are headed by program directors, who report directly to the regional director for social services.

1-2 RESOURCES ALLOCATED TO CHILD CARE (Annual Basis)

| | Expenditures FY 74-75 | Allocations FY 75-76 |
|---|---|---|
| Total Social Service Allocation | $127.6 million | $185.6 million * |
| Total Child Care Allocation | $20.0 " | $30,742,324 ** |
| Proportion of Social Service Funds | 15.7% | 16.5 |

* Texas FY 76 program utilizes its maximum share of federal social service funds, $140.5 million.

** Estimated expenditure from Title XX Plan (Does not include $3,091,200 1976 WIN allocation).

The number of state-level staff engaged in child care management activities was estimated at 21 FTE. No other staff figures are available.

1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | No. Licensed Providers | FFP Children | Expenditures FY 74-75 | Anticipated Expenditures FY 75-76 |
|---|---|---|---|---|
| Public & Private centers | 2591 | 9,850 | $17,367,434 | $30,742,324 |
| Family Day Care Homes | 1747 | 140 | 170,500 | |
| In-home Care | 3322 | 12,335 | 2,500,000 | $ 3,169,265 |
| TOTAL | 7660 | 22,325 | $20,037,934 | $33,911,589 |

* Total '76 figures do not include all administrative costs.

** Estimated expenditures from Title XX Plan.

The $78,065 descrepancy between the total estimated expenditures of $33,911,589 and the total child care allocation of $33,833,524 (including WIN allocation) may be due to administrative costs.

The number of providers shown above includes all who are licensed. The number of centers and family day care homes which serve FFP children is much smaller, since only FIDCR-certified facilities are used for FFP eligibles.

Large scale sub-contracting is heavily utilized in relation to certified facilities. There are 85 centers and two day care home programs which serve as prime contractors. The precise number of certified providers, operating under sub-contracts to their prime contractors, is not known (however, projecting from the number of children served, it appears that there are only about 50 certified homes).

Group day care homes do not currently exist as a separate provider category. They are included within the category of centers. However, a forthcoming state statute will sanction their development as a separate provider type.

## 1-4 INFORMATION SYSTEM

Nature of Reconds:

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social services case records | Yes | Family and Individual | local |
| Standardized social service forms | Yes | Family and Individual | state/ local |
| Computerized records | Yes | Family and Individual | state |

Extent of Data: All necessary information with the exception of method of service provision, duration of service and demographic data (aside from family income, family composition, and relevant income maintenance information) is retrievable from the state computer. Narrative social service case records do not include child identifiers, data on duration of service, and cost data. Otherwise the narrative case records contain the fully complement of information.

Data Aggregation: Data aggregation occurs exclusively at the state level where it is computerized after being forwarded by the local offices. Numerous annual reports are prepared. They include a case review and inventory report, a services objectives analysis, a goal achievement report, a fiscal report on service delivery costs, and an annual departmental report. While state respondents indicated that child care receives minimal emphasis in these reports and that much of the child care data is inprecise, computer capability (particularly in generating fiscal reports) was seen as a strength.

## 1-5 STATUTES

None

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

The state identified a lack of sufficient funds for additional child care for vendor children as the main problem area. A major strength is that the state is able to purchase services from private facilities.

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Title XX needs assessment was conducted by a Title XX Task Force composed of staff from the Governor's Budget Office, the Legislative Budget Board, and DPW staff. A system of subcommittees and advisory groups served to involve members of DPW and other social service agencies. Prior to Title XX, no child day care needs assessments had been conducted.

Level of Effort: 100 person months over four calendar months.

### 2-2 PROCESS

Scope: The assessment was inclusive of all social services and covered client needs and services availability.

| Sources of Information | Extent Utilized | Strategy |
|---|---|---|
| Documentary Sources | Extensively Utilized | Prior plans and reports on regional allocations for previous years; census data; Mgt. Info. System (MIS) data. |
| Agency Personnel | Extensively Utilized | Regional Social Service Staff.<br>Members of various state social service agencies and advisory committees. |
| Service Providers | Utilized to some extent | Participated on advisory committees |
| Consumers | Not Utilized | -- |
| General Public | Not Utilized | -- |

### 2-3 RESULTS/UTILIZATION

Specific Numerical Results Were Generated in Relation to:

- Ages of children
- Types of service needed
- Client type (including WIN, AFDC, children with developmental problems, and children of DPW-VR participants)
- Geograhic area

Degree of Integration into Planning Process: The needs assessment demonstrated that additional children would require day care service in all client categories and for all provider types. The result was an increase in money appropriated for day care, an increase in the number of facilities contracted with, and an increase in number of staff.

## 3. PLANNING

### 3-1 ORGANIZATION AND LEVEL OF EFFORT

On-going Planning: No specific staff were designated as "planners" on an on-going basis. Rather, planning was done separately by each functional division within the social services agency, and performed on an "as-needed" basis. Coordination was the responsibility of the Assistant Deputy Commissioner for Social Services.

Title XX Planning: This was handled by a specially-created Title XX Task Force. This structure allowed for input from both the state and local level and represented a more formulized process than previous planning efforts.

No estimates on the level of effort are available.

### 3-2 PLANNING PROCESS

Planning was coordinated at the state level through the Task Force. Review and comment was then sought from regional levels. Staff indicated that planning for day care was no more extensive than that for other service areas. WIN and Title IV-B planning was interfaced through input from program managers who sat on the Task Force. Planning occured after the DPW Biennial appropriations request had been made to the state legislature in January of 1975, so that the total amount which could be allocated to the various services in the course of planning had already been established.

A description of the proposed Title XX plan was published in 36 papers across the state. 461 letters were received during the 45 day comment period. A "Hot Line" toll free number was also established to receive comment. Many comments were received regarding improvement of the I & R services.

3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types and Numbers | Comparison |
|---|---|---|---|---|
| Total Number to be Served | yes | yes | 21,627 children | No figure available for previous year |
| Population Categories to be served | yes | yes | WIN-3832<br>VR-2600 | Increase |
| Priority Population Categories | *yes | no | -- | -- |
| Service Provider Types | yes | yes | Centers-17,466<br>In-Home - 4,166 | Increase |
| Special Provider Attributes (e.g. hrs of service) | no | no | -- | -- |
| Geographic Areas | no | no | -- | -- |
| Dollars Allocated for child care services | yes | yes | **Out of Home: $24.7 mil<br>**In-Home: $6.6 mil | Increase |

*Priority categories will be employed only if there is a danger that all funds will be exhausted. They will focus on WIN participants and persons striving for self-sufficiency through training or employment. (Top priority always goes to children needing custodial or protective care.)

** This includes some WIN and Vocational Rehabilitation (VR) funds for centers and family day care home.

Planned Organizational Changes: None

3-4 UTILIZATION/IMPLEMENTATION

The Title XX plan produced no organizational changes, nor was money redistributed along geographical or sup-population lines. There was an additional budget request for FY 76 which was granted. Staff size was increased through the addition of more Child Development Specialists and Day Care Resource Specialists.

## 4. EVALUATION

### 4-1 ORGANIZATION

Prior to October 1974, Evaluation was the responsibility of the Contract Services Division of the Social Service Branch. Currently that function is handled by the Program Evaluation and Review Division -- a unit established to evaluate and review programs under the auspices of the state office. No local level evaluations are performed.

### 4-2 ACTIVITIES AND PROCESS

Two examples of evaluation studies were uncovered. One was a provider evaluation, which, in fact, appears to have been more an example of monitoring. Contract Services used its own forms to focus on compliance with a contract, basic quality of care delivered and management problems. Emphasis was placed on an individual reviewer's professional opinion and there was no real system of comparison.

A second study, an impact evaluation, focused on the effect of closing two Day Care centers on the employment of parents. A sample of children from the two centers were chosen, and the parents were interviewed. Interview content was left up to the individual DPW staff member.

### 4-3 RESULTS

Major Findings: The provider study reached the conclusion that most contracts were in compliance and providers "were offering quality care." Where this was not the case, management personnel were directed to take the appropriate action.

The input study concluded that day care was functioning to enhance the child's development but had little impact on the employment of the parents. It also determined that DPW staff had little interaction with day care services in the two regions studied.

Utilization of Findings: There were no major changes in day care policy as a result of these studies. A temporary effect has been to increase the regional level Project Manager's interaction with the providers to correct identified problems.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

There is no state level involvement in I & R. At the regional level the Day Care Resource Specialist updates a list of FIDCR certified facilities "as needed." A list of all state licensed facilities is generated by the Regional Day Care Licensing Unit and is updated twice a year. These lists cover day care services exclusively.

### 5-2 PROCESS

Assembling Information: The following information is assembled on both FIDCR certified facilities (F) and state licenced facilities (S

| | Systematized | | Freq. of Update | | Information Compiled | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | Ages | | Hrs. | | Cost | | Avail. | |
| Provider Type | FIDCR | St | FIDCR | St | F | S | F | S | F | S | F | S |
| Centers | Yes | Yes | "as needed" | every 6 mos. | Y | Y | Y | N | N | N | N | N |
| Family Day Care Homes | No | Yes | "as needed" | every 6 mos. | N | Y | N | N | N | N | N | N |
| In-Home | No | No | None | None | - | - | - | - | - | - | - | - |

Desseminating Information:

Copies of the State Licensed facilities list are sent to all Social Service and Licensing workers. There is also a large mailing list, including companies with large numbers of women employees, social agencies, and the Texas Employment Commission (TEC). The FIDCR list goes to all DPW staff to aid them in placing eligible clients.

Consumers hear of day care services through periodic newpaper articles, or contact with DPW, WIN, TEC, or other social agency staff. In addition they may hear of service through their employer or by word of mouth.

Assessing Client Need: Assessment is handled by a regular Social Worker, WIN-SAU, or Vocational Rehabilitation Worker. Consideration is given to the following factors:

- child's age and personality development level
- family composition
- hours, cost and location of care.

The agency worker either gives clients a list which they can make their own observation appointment, or the worker makes the appointment for the client. This would seem to vary by worker initiative. (Note: in some cases client goes first to the provider.) Based on this visit and discussion with the provider the client decides whether to accept that provider site or not.

Referral and Follow-Up: The only real follow-up is that which is built into the EDSTP program to ensure that a proper medicaid examination has been performed.

## 5-3 RESULTS

No data on number of referral was available at state or regional level.

# 6. CLIENT ELIGIBILITY

## 6-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: State and Federal regulations are used as guides. The actual policy comes from the DPW Commissioner through the Administrator for Program and Policy Development. Paperwork and actual eligibility determination decision is done by the provider. Currently WIN and Vocational Rehabilitation Workers do eligibility determination also, but even then the process is repeated at the provider level. The provider must also secure necessary documentation.

Level of Effort: No figures at the state level are available, but probably this process does not involve substantial DPW staff time. Eligibility and documentation are provider's responsibility and in the case of WIN and Vocational Rehabilitation the client is eligible for all needed social services if they are going into work or training. Redetermination and documentation are to be done every six months. The primary DPW responsibility is to audit a few eligibility application forms (Form 280) from each provider.

## 6-2 POLICY PROVISIONS

Eligible Population Categories: Persons eligible for day care services include:

- AFDC-WIN
- AFDC-non-WIN
- SSI and Medical Assistance Only (MAO) recipients
- Income Eligibles (defined as persons whose gross annual income does not exceed 60% of state's median income. This 60% level is $7,740 for a family of four and is adjusted for family size).

These categories represent an expansion of eligibility categories since the passage of Title XX.

Priorities exist but will be utilized only if it appears that funds are about to be exhausted. Priority would be given to children needing protective service and to families who are participating in WIN or VR programs.

Materials To Ensure Uniform Interpretations: The DPW staff receives a Social Service Handbook to aid in eligibility policy interpretations. The eligibility determination forms (280) used by the providers contain their own sets of instructions.

## 6-3 PROCESS AND VOLUME

Applications: No statewide figures were available but in Tarrant County 1400 applications were taken in the past year.

Standardized application forms (280) are in use statewide. The provider is responsible for completing the forms, securing documentation, and making the determination. (This is also done by WIN and Vocational Rehabilitation Workers for their clients). Providers are trained by the DPW Contract Staff on a contract-by-contract basis. The contract staff also sample checks a few eligibility forms from each provider.

Eligibility Determination: Total Eligible - N/A at State
Total Ineligible - N/A at State
Time Lapse - 30 day max. by law

Tarrant county estimates that over 90% of those who apply are eligible. However, this figure may be questioned because it is not clear whether providers forward applications for persons judged ineligible to the DPW.

Actual determination is done by the provider (note above on duplication for WIN and VR clients). Service may begin as soon as Form 280 is completed and documentation is viewed. The state, however, will not reimburse the facility for care if person is later found to have been ineligible. The client bears the responsibility for notifying DPW of any status change which would affect eligibility. Additionally, the provider is required to check medicaid ID card monthly.

Quality Control: For basic grant applicants, the provider must see client's Medicaid Form or call DPW for welfare confirmation. Appropriate check stubs must be seen for persons who apply as income eligibles. Re-determination and documentation must be done every six months. The DPW Regional Level Contract Unit has the responsibility to perform a mini-audit and see a few forms from each provider.

Redetermination Frequency: Every 6 months.

Appeals: 5 or 6

## 6-4 PARENT FEES

No fees are charged to those who qualify for compensable care. All others must pay the full cost of care.

# 7. LICENSING

## 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: Licensing Representatives License and monitor for state standards. Day Care Resource Specialists license and monitor for FIDCR standards. There is no license required for In-Home care providers. FDCHS and Day Care Centers must meet state licensing standards with primary responsibility for this process resting with the DPW Licensing Division. Fire, safety, and health inspections are made by the local Fire Department (or State Fire Marshalls in rural areas) and Health Inspectors, Nurses, and Sanitarians. Enforcement of state requirements is handled by DPW; local authorities are responsible for enforcing supplementary local ordinances.

Staffing: Statewide there are about 200 line workers and another 100 administrative personnel who are part of the licensing process. Staff issues and revalidates licenses (50% of their time is spent on this) and performs quarterly monitoring visits to facilities. Such workers must have a B.A. degree. They are given three weeks of on-job training, two weeks of training in Austin and one week working in a day care center. They have the authority to deny or revoke a license; both require, however, approval of their immediate supervisor.

## 7-2 STANDARDS

Standards Development Process: Approval standards for in-home care were developed by DPW based on Title XX requirements and became law in 1975. State statutes on out of home care delegate responsibility to the DPW, which is currently revising the licensing requirements. The prior standards for centers date from 1974 and for homes from 1951. The initial draft was developed by in-house staff. Providers and their representative organizations were invited by mail to attend regional meetings to voice their opinions. These comments were incorporated into a Final Draft which, during our visit was in a 60-day Review and Comment Period for public reactions. The proposed standards are slated to become effective on June 29, 1976.

The new standards are contained in 16 different sets of regulations to cover specific types of child care facilities. They include provisions for the registration of family day care homes serving pre-school and after-school children. This provision will be in-lieu of licensure.

Content of Standards:

| Centers: | |
|---|---|
| Ages | Ratios |
| Under 18 mos. | 4:1 |
| 18 mos.to 2 yrs. | 6:1 |
| 2 yrs old | 8:1 |
| 3 yrs old | 12:1 |
| 4 yrs old | 15:1 |
| 5 yrs old | 18:1 |
| 6 to 7 yrs | 20:1 |
| 8 to 14 yrs | 25:1 |
| Group Day Care Homes: | |
| Family Day Care Homes: | |
| Under 2 yrs. (including own) | 2:1 |
| Under 6, if 2 are infants (including own) | 3:1 |
| All ages, except infants (including own) | 6:1 |

Additional Components of the Standards:

- A physical facilities component
- Health component
- Nutrition component
- Education component
- Fire, safety and sanitation requirements
- Program component
- Administrative component

Comparison of Licensing Standards with FIDCR: FIDCR requires more staff to children served than do state requirements for all categories. This is seen as main problem area for providers to be certified. Further FIDCR requires health and dental services which the state does not.

The state is more specific about staff qualifications and play equipment to be used. State also specifies building code requirements, which FIDCR does not. It is not that state standards exceed FIDCR as much as state requirements cover areas not covered in FIDCR.

It is said that the state standards reflect what can reasonably be enforced state-wide. It reflects an attitude that "if you don't put money into a facility you can't expect too much." It also tries to recognize regional differences, e.g., West Texas, where there is nothing around for miles, sees no need for fencing requirements.

Once a facility has a state license it must then be certified if it is to receive federally funded children. This is done by a Day Care Resource Specialist who checks to make sure the facility has a valid state license. The Day Care Resource Specialist then explains what must be done to bring facility into compliance with FIDCR standards and how to make application for a General Contract to serve FFP children. The completed forms are approved regionally, then statewide.

Provider willingness to comply with FIDCR varies greatly depending on the type of contract arrangements. A cost allocation contract makes the state partially responsible for the cost of improvements. 90% of such facilities are willing to comply with FIDCR. Only about 50% of the facilities without such cost allocation contracts are willing to comply with FIDCR. About 25% of the family day care homes are willing to comply with FIDCR.

(Note: the state also provides staff training to FIDCR-certified facilities. Further medical and dental services are provided through EPSDT. The state questioned how long it could continue to pay the cost for meeting FIDCR requirements.)

## 7-3 SUMMARY OF LICENSING ACTIVITIES

| Service Type | License/Appr. Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total # | # Lic. | % Disq. | Planned | Actual |
| Public Centers | License | UNK | 2,591 | UNK | Annual | Annual* |
| Private Centers | License | UNK | | | | |
| Group Day** Care Homes | -- | | | | | |
| Family Day Care Homes | License | UNK | 1747 | unk. | Annual | Annual* |
| In-home | Approval | UNK | 3322 | unk. | not known | |

*Called "revalidation"

**At time of visit, group day care homes were considered to be "Centers" for Licensing purposes. New proposed regulations will provide a seperate category for group day care homes.

Fees for Licenses: None

Content of License: For both centers and FDCH, the License includes the date of issuance, the maximum number of children to be served, maximum hours of operation, age range of children and the license category and any limiations.

## 7-4 LICENSING PROCESS

Areas of Investigation: The formats for FDCH and Center licensing studies include an investigation of physical characteristics of the building, provider characteristics provisions for educational and nutritional components, children's medical clearances, and provisions for handling children who become ill.

Extent and Nature of Process: The process for both FDCH and Centers is a formal one. There are forms for the provider to fill out and licensing guides for the Licensing Representative to follow. A time limit (from the inception of the Licensing study to issuance of License) is in effect. At time of visit it was 90 days but was scheduled to be reduced to 60 days beginning January 1, 1976. The process for family day care homes usually involves four visits, while six to eight visits are often required for Centers. For both types of facilities, those steps which require the involvement of outside agencies or persons are the ones which most often cause delays. These steps include fire and health inspections and medical exams for children and staff. In addition, the process for centers can be slowed by the First Aid Training for staff which is given by the Red Cross.

Both types of facilities are monitored quarterly.

Conditional Licenses: None are used.

Revocations: 150 facilities ceased to operate last year, but no figures are available on how many of these had their licenses revoked. The initial decision to revoke a license rests with the Licensing Representative (with approval of immediate supervisor). The facility is notified twice by letter that they are not in compliance with state regulations. A 3rd letter informs the provider of the appeals procedure. The provider has the right to appear before an Appeals Committee composed of other providers. The committee sends a recommendation to the DPW Commissioner and his Board where the final decision is made.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

Organizational Model: The same Licensing Representatives do both licensing and monitoring for compliance with state standards. FIDCR compliance is certified and monitored by the Day Care Resource Specialist (DCRS). Both licensing/certification and monitoring are regional functions. (Note: Contract Monitors monitor overall contract compliance and the untilization of funds. This is also a regional function.)

Level of Effort: Statewide there are 200 Licensing Representatives. There are 20 Day Care Resource Specialists. It is estimated that the Day Care Resource Specialists spend 90% of their time monitoring. For the Licensing Representative, the amount of time spent monitoring is unknown.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

| Provider Type | By whom monitored | Monitored | Frequency | Av. Time per unit |
|---|---|---|---|---|
| Centers | | | | |
| State Stds | Lic Reps | 100% | Quarterly | 1-8 hrs |
| FIDCR Stds | DCRS | 100% | Quarterly | 20 min-1 hr |
| Family Day Care Home | | | Agency Sys: Annually | |
| State Stds | Lic Reps | 100% | All others | 1-3 hrs |
| FIDCR Stds | DCRS | 100% | Quarterly | 1 hour |

### 8-3 PROCESS

Areas of Investigation:
The Day Care Resource Specialist checks for compliance with all FIDCR standards. The Licensing Representative checks for compliance with State regulations but usually focuses on provider identified "problem areas." These areas, when identified at a monitor's visit, are recorded on a Compliance Report Form.

Extent of Systemization: The Licensing Representative uses a state Standard by Standard Evaluation checklist which indicates what areas are to be investigated. The Day Care Resource Specialist uses forms from the 264 series--these are also statewide checklists.

Dominant strategy: Both Licensing Representatives and Day Care Resource Specialists report using a combination of surprise and scheduled visits, although the DCRS uses more of the latter. Both monitor on a quarterly basis.

Extent to which practice corresponds to policies: For both the Day Care Resource Specialist and the Licensing Representative the stipulated state policy on frequency, content, and form of the monitoring process appear to correspond closely to regional implementation practices.

## 8-4 RESULTS

For centers and family day care homes compliance with regulations appears high. Both state and county personnel involved with the Licensing Representative and Day Care Resource Specialist functions report that 100% of the facilities comply with FIDCR.

Although facilities are said to be 100% in compliance with state standards, it was noted that facilities have a problem meeting both the state and FIDCR staff ratio requirements. The regional office noted some difficulty in meeting state health and nutritional standards. Whether the 100% compliance figure is absolutely accurate or whether it reflects the fact that non-compliance facilities lose their license is not known.

In addition to compliance problems with FIDCR staff ratios, certified facilities have difficulty in meeting parent involvement requirements.

Follow-up to monitoring consists of areas of non-compliance with either state or federal regulations being brought to the provider's attention. A target date is set for the correction of the problem and a follow-up visit is made. Continued non-compliance leads to revocation of the license and/or certification. Loss of certification ends FFP funding for eligible children.

If appropriate, the Licensing Representative can provide TA in meeting state requirements. The Day Care Resource Specialist refers a need for TA to one of the Child Development Specialists. The Child Development Specialist either directly provides or coordinates T & TA to facility staff in such areas as program planning.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

T & TA functions occur at both the state and regional level. At the state level three Program Specialists in the Child Development Program Unit provide direct training (primarily through workshops) to regional DPW Day Care staff and further assist regional staff persons in presenting provider workshops. Furthermore the Program Specialists constantly interact with Regional Staff (through personal contact, and written communication) on state and federal policies, procedures and Licensing instruments. The Specialists maintain a resource library available to the DPW staff and prepare their own mailings for DPW field staff. The state staff identified two different types of TA literature which are proposed and distributed to providers. This T & TA was said to represent 4 FTE at state level. An additional 4 FTE level of effort was invested by the State Day Care Licensing Unit in providing license-related T & TA for regional DPW licensing staff. The unit noted that beginning January 1, 1976 its specialist would begin to provide T & TA directly to providers. The unit also coordinated the attendance at regional licensing staff at appropriate workshops at Tulane University and has arranged a one week internship for new regional staff to enable them to actually work in a Day Care center

At the regional level TA is provided to licensed facilities by the Licensing Representatives. Their focus is on establishing compliance with state licensing standards. Also at the regional level is a Child Development Specialist, 3/4 of whose time is spent providing T & TA to providers. Most of this effort is directed at certified facilities, but non-certified facilities are invited to attend workshops. The Child Development Specialists also worked with DPW licensing staff and WIN workers on what to look for during the licensing process.

The structure of such T & TA efforts would appear to support the state's decentralization policy, geared to giving more responsibility to the regions.

Staff Background: Program Specialist: Masters in Child Development or Child Education, plus direct experience. in Child Care programs.

Day Care Licensing Specialist: Masters in Social Work, Child Development or related areas, plus related work experience.

Child Development Specialist (Regional Level): B.A. in Child Development and on-job training.

Day Care Licensing Representative (Regional Level): A B.A. degree, no specific field. Also must participate in two weeks of training in Austin and one week working in Day Care facility.

9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amt |
|---|---|---|---|
| Regional DPW staff | Program Specialist at State level | Content: State DC policies and procedures<br>Form: workshops, site visits, phone calls and written guides. | * |
| Regional DPW licensing staff | State DC Licensing Specialist | Content: Policies and procedures for state DC licensing process<br>Form: workshops and lecture training sessions, site visits, phone and written contact, 1 week field placement in day care center. | 4FTE |

Provider Training and Assistance

| To Whom | By Whom | Description | Amt |
|---|---|---|---|
| All Facilities | Program Specialist | Quarterly and "as needed" literature on DC policy and program ideas. Also aid Regional DPW staff in giving provider workshops. | * |
| | Regional Lic Rep | Direct contact with providers to ensure compliance with licensing standards | unk |
| FIDCR Certified | CD Specialist (Regional level) | Program content especially to identify ways children learn in relation to their developmental level.<br>Form: site visits, demonstrations with staff and children interacting; take staff to view operation at model facility | 8 1/4 FTE |

* Together these account for 4 FTE. Most emphasis is on staff development of resource literature.

## 9-3 PROCESS

Identification of Need for T & TA: State level T & TA , because it is essentially a staff development function, is most often tied to requests from regional staff and to the initiation of new policies and procedures. The state identified such policy/procedure explanations as the area of greatest need. At the regional level T & TA is tied to direct provider requests and to the identification of need through the monitoring function. Although some T & TA relates to new policy, a significant portion of this is tied to program content.

Methods Used: Site visits, demonstrations with staff and children interacting; workshops, lectures, telephone and mail consultation.

## 9-4 RESULTS

Program Specialists feel they can meet most of the short term needs of Child Development Specialist and Day Care Resource Specialist staff. Long range or on-going T & TA activities for these staff are seen as inadequate as are T & TA needs of other staff personnel.

Feed back on the T & TA provided is of an informal nature -- through phone calls and field reports.

The Child Development Specialists find it hard to deal with providers who think of learning in a traditional sense. This is especially true for facilities from which the state purchases only certain slots. Centers which are under "General Contract" to the state seem more oriented to the T & TA process.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Structure:

State: A single unit, the DPW Fiscal Division handles all payments for Assistance Payments and Social Services.

Local: All social services including Day Care are handled by the Purchase of Social Service (PSS) Unit.

Function: The state DPW Fiscal Division is responsible for coordinating the report and payment functions of fiscal matters. The policy and allocation system under which the Fiscal Division operates are determined by the state DPW Commissioner, his administrative staff, and Board. This Board sets reimbursement rates for WIN and VR Day Care Services. Other day care service rates are a function of the actual cost of operation of the facility. Specific statewide day care policy is formulated by the Child Development Program Unit. The head of this unit is responsible for coordinating Fiscal and Program policy matters.

At the local level the PSS Unit determines fund allocations within the region and manages all purchase of social service contracts. Such contract management is performed by a Contract Manager. The Regional Program Director is responsible for securing donor funds from local sources to be used with a Federal match.

### 10-2 FISCAL MATERIALS

Availability: At the state level all listed forms are available except for schedules and attendance reporting forms (which vary by provider).

Source: Most were developed by the DPW Program Policy Division, but other units such as WIN/VR and the old Contract Division had significant involvement.

Utility: The forms vary widely in their usefulness. The provider billing forms and audit report forms are rated as poor. The state estimates that 50 to 60% of the billing forms are filled out incorrectly. Policy and Explanatory Guides, and the line item budget formats are rated as excellent. Other forms are seen as fair to good.

## 10-3 INCOME SOURCES

| Source | Amount/% FY 74-75 | Amount/% FY 75-76 |
|---|---|---|
| Title XX/IV-A | $20,000,000(86%) | $30,742,324*(91%) |
| WIN | 2,585,713(14%) | 3,091,200( 9%) |
| CWS | -0- | -0- |
| Other: | -0- | -0- |
| TOTAL | $22,585,713 | $33,833,524 |

* This figure includes protective day care services.

## 10-4 DISTRIBUTION OF EXPENDITURES BY METHOD OF SERVICE PROVISION

| Method | FY 74-75 Expenditures |
|---|---|
| Purchase of Service (contracted) | Unk. |
| Vendor Payments | Unk |
| Direct Provision/Operation | none |
| Client Purchase, with social service funds | none |
| SUB-TOTAL | Unk |
| Client Purchase, with income maintenance funds | Unk |
| TOTAL | Unk |

Description of Funding Methods/Processes:

A. Purchase of Service: Day care services are purchased for infants, preschool and school-age children for half (less than 4 hours) or full day. There are three different arrangements that can be made to purchase these services:

1. Purchase of Service contracts - This procedure is used to purchase services from public or private non-profit agencies which provide day care services through day care centers or family day care home systems. A General Contract is written, purchasing a set number of "slots" to be filled by FFP eligible children.

2. Provider Agreement, Form 266 - This procedure is used to purchase out-of-home day care services from non-profit and commercial day care centers and individual family day care homes. Services for DPW-VR and WIN related children may be purchased in this manner (Form 267).

3. Individual Provider Agreement, Form 278 - This procedure is used to purchase in-home day care services from individual in-home day care providers. Services for DPW-VR and WIN related children may be purchased through this procedure also.

Contracts for purchase of services originate at the Regional level through the combined efforts of a team composed of Child Development Specialists (CDS), Contract Manager (CM), and the provider. The contract deals with areas generic to program delivery, administration, cost, service utilization and contracted reporting.

The potential provider can receive advice from the Child Development Program staff regarding requirements specific to providing day care services for purchase by the DPW. Copies of FIDCR and/or DPW Quality Child Care Requirements (QCCR) are given to the potential provider and the necessity for compliance with the QCCR, and State licensing compliance, is emphasized.

In the duration of purchase of services contracts for day care services, the Child Development Specialist and Contract Manager help the provider to make whatever changes are needed during the contract period and to maintain accountability. The Child Development Program staff helps the provider agency maintain quality service and compliance with the QCCR.

Each region has a Contract Manager to ensure contract compliance. Texas does do large scale sub-contracting with 4-C's and Model Cities but in all cases the prime contractor is responsible for actions of the sub-contractor. In all cases monthly billing forms are prepared by the provider and copies sent to the local

Contract Manager and State Fiscal Division. The Fiscal Division has the responsibility for ascertaining the accuracy of the figures. Eligibility checks and all other quality control procedures are left to audits which occur for most facilities about once a year. This Fiscal Division sends a tape to the Comptroller's office listing payments to each provider. The process takes about two weeks. When overpayments occur, they are often difficult to collect since many providers are non-profit and can barely sustain their own operation.

Contracts containing all the required elements are available and in use for all provider types.

B. Direct Provision Operation: None

C. Client Purchase: Some day care is purchased with Income Maintenance (IM) funds but the Fiscal Division keeps no records on this total. The IM Unit worker is responsible for all verification. Day care expenses are deducted from Earned Income before the monthly grant amount is set.

10-5 RATE ESTABLISHMENT

Unit of Measurement: "Spaces" (slots): state "spaces" filled by several children who together fill the slot full -time.

| Provider Type | Rates | | |
|---|---|---|---|
| | Basis | Average | Range |
| Centers: (spaces/month) | Actual expenditures this amount fluctuates monthly | $150/ month | $68/ to $395/ month month |
| Family Day Care Homes (spaces/month) | Rate per child plus amount for equipment and administration costs. | $94/mo. | $88/mo to $100/mo |
| In-home | Based on maximum for out of home care on 266 contracts. | $6.20-1 child full day<br>$7.20-2 children full day<br>$8.20-3 or more children fullday | |

## 10-6 IN-HOME CARE

The state established rate varies with the number of children being served but generally the reimbursement rate is less than the minimum wage. This has not been an issue to date.

## 10-7 INCOME ELIGIBLES AND PARENT FEES

Income Eligibles: Those families whose gross annual income does not exceed 60% of state's median income ($7,740 for a family of four.) All families not eligible for publicly funded services must pay the full cost in the private sector.

## 10-8 DONATIONS

Donations are accepted from many sources throughout the state (i.e., United Way is a primary source of donations). The total donated funds for a given year could not be ascertained.

## 1. OVERVIEW

### 1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The Department of Social Services (DSS) is the (umbrella) agency designated to administer the state's social services programs.

The Office of Community Operations within the DSS is responsible for coordinating efforts for all services delivered by DSS.

Responsibility for managing the state's child day care program, as well as other social services programs, rests with the Division of Family Services (DFS).

Fiscal management is the responsibility of the Budget Unit of the Office of Administrative Services within the DSS. The unit is responsible for all social services programs, including child care. Its functions are non-programmatic and are limited to collecting data for expenditure reports, preparing data needed for the annual appropriations request, and providing technical support in fiscal areas as requested by program staff.

Licensing of day care centers is the responsibility of day care specialists in the state Support Unit of the Division of Family Services (DFS); licensing of family day care homes is the responsibility of the District Office staff of this Division.

The state is divided into 29 counties and 7 multi-county geographic areas (districts) for Title XX planning purposes. There are 9 district offices of DFS. There are also 9 district offices of the Assistance Payments Administration (APA), another division within the DSS, which works with the district offices of DFS in service delivery.

The district offices of the Division of Family Services will vary in staff size according to population and geographic area. Each district office has a Master Service Unit (central unit), Functional units (direct services), the facilitation unit (supportive services, and the monitoring unit. These staff are resonsible for social services delivery on the local level and are supervised by the District Director, Division of Family Services.

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The Utah site visit was conducted in November, 1975. Interviews were held with 90 state staff and with 6 of the local staff in Provo.

## 1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

| | Expenditures FY 74-75 | Allocations FY 75-76* |
|---|---|---|
| Total Social Services Funds (Titles IV-A/XX) | $9,397,000 | $14,666,700 |
| Total Child Care Funds (Titles IV-A/XX) | 1,391,800 | 2,415,751 |
| Percentage of Total Social Services Funds Allocated to Child Care | 14.8% | 16.5% |

*State Title XX Plan

The proportion of total social service staff time allocated to child care was not available; however, the FTE's involved in the provision of child day care services approached 5¼ FTE's at the state level, and 7 FTE's at the local site at Provo.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Sanctioned Providers | Number FFP Children | Actual Expenditures FY 74-75 | Anticipated Expenditures FY 75-76 |
|---|---|---|---|---|
| Public Centers | Not Used in State. | | | |
| Private Centers | 85 | 1,233 | $733,540 | $819,841 |
| Group Day Care Homes | Not used in State. | | | |
| Family Day Care Homes | 940 | 122 | 852,654 | 952,969 |
| In-Home Care | Not Used in State. | | | |
| TOTAL | 1,025 | 1,355 | $1,586,194* | $1,772,810 |

* Includes WIN funds.

All facilities are open to and generally serve a combination of FFP eligibles and non-eligibles.

## 1-4 INFORMATION SYSTEM

Nature of Records:

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | yes | Family and Individual | local |
| Standardized social service forms | yes | Family and Individual | state and local |
| Computerized records | yes | Individual | state |

Extent of Data: All information kept on the family and/or individual, except for parent fees, is computerized. This includes client identifiers, eligibility status, service delivery, service costs, demographic descriptors, self-sufficiency goals, goal achievement, family income, ethnicity and sex. The narrative case record contains the same information, except sex and ethnicity, but also shows amount of parent fees and a more detailed description of goal achievement. The standardized social service form contains information pertaining to client identifiers, demographic descriptors and family income.

Data Aggregation: Data is collected in districts IIA, IIB, III, V, and entered into the computer at the local level. In district I, IV, VI, IIVA, IIVB, forms are sent to the state office for entry into the computer. All data is retrievable from the computer at the state level. Compilation for reports takes place at the state level from the state's computer master file. Fiscal and program reports are generated in addition to a bi-weekly staff time/task report.

While the limitation on computer time allocated to the Division of Family Services presents a problem in terms of programming for new and special reports, the staff anticipates no problem in producing the reports required under Title XX. The computer system is programmed to produce exactly the requested information.

## 1-5 STATUTES

The Utah Individual and Family Services Act of 1973 provides a legal basis for the existing licensing regulations.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

At the state level, the efficiency accuracy and potential management capability of the computer information system was considered to be the state's greatest strength.

The enforcement of FIDCR staff/child ratios was seen as a great problem for the state as was the limited staff and funding available for day care delivery in general.

Locally, the staff pointed to their consistently dependable provider payment system, their efficient eligibility determination system, and the competent staff as the state's key strengths in service provision.

They noted, however, that greater efforts for consumer outreach are needed and that provider education in all areas of child day care should receive greater emphasis from the DFS.

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT

No comprehensive needs assessment was conducted by the state for Title XX planning. A major needs assessment conducted by each district office of DFS and compiled by the central office of DFS in 1973 was extensively utilized as a basis for the Title XX plan. This needs assessment covered all social services with minimal attention to child care; it included services availability and service need by client type (primarily AFDC). 2 staff members from the State DFS spent 60 days at the time coordinating district data collection, with the goal of developing a state service plan which reflected the specific needs of each district.

The state hopes to initiate a new, better developed needs assessment for the next planning effort. Input from consumers and the general public, negligible in the 1973 needs assessment, will be emphasized more in the next needs assessment, according to respondents.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

On-going Planning: Prior to Title XX, the state Division of Family Services had responsibility for all social services planning. At present, the Office of Planning and Research, within the Department of Social Services, has on-going planning responsibility; this was a result of Title XX reorganizational efforts.

Title XX Planning: Office of Planning and Research had primary responsibility for Title XX planning.

### 3-2 PROCESS

A Title XX Task Force was formed, composed of multi-departmental social services staff under the aegis of the Office for Planning and Research. It received input from a citizens advisory committee composed of local consumers and a few social services providers. A draft was submitted by the Task Force to the governor and the subsequent public review period resulted in the final social services plan. Child care planning did not receive any special emphasis.

The Title XX planning process was described by respondents as less organized than previous planning, due primarily to time and staff constraints. It is felt that the planning process for 76-77 Plan would be better organized. However, provider input was less than it had been in the past. Child care feedback on the plan at public hearings focused on provider and consumer objections to the excessive cost implications of the proposed standards under revision (i.e., training day care providers and staff; child/staff ratios). There was no interface with WIN and Title IV-B planning.

### 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types and Numbers | Comparison |
|---|---|---|---|---|
| Total number to be served | yes | yes | approx. 4,000 children | more |
| Population Categories to be served | yes | no | AFDC, SSI, medical assistance, income elig.'s | |
| Priority Population categories | no | no | --- | -- |
| Service Provider types | no | no | --- | -- |
| Special Provider Attributes | no | no | --- | -- |
| Geographic Areas | yes | yes | 7 multi-county districts | same |
| Dollars Allocated for Child Care Service | yes | yes | $2,415,751 | more |

Planned Organizational Changes: An Office of Community Operations within the DSS, with a specific Title XX planner, was organized to coordinate services delivered by the DSS. In addition, the Office of Planning and Research, a separate planning unit, was given responsibility for overall social services planning.

## 3-4 UTILIZATION/IMPLEMENTATION

All organizational changes have been implemented. The planning unit is preparing an in-depth statewide social services needs assessment for the next program year.

## 4. EVALUATION

No child care evaluations have been conducted in the state.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

No state or local information and referral program exists for child care or social services referral. Information and referral services are dispensed primarily by social service workers and secondarily by SAU-WIN staff, income maintenance workers and voluntary agencies.

### 5-2 PROCESS

Assembling Information:

| Provider Type | Systematized | Freq. of Updates | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hrs. | Cost | Avail. |
| Centers | yes | sporadic | yes | yes | no | no |
| Homes | yes | sporadic | yes | yes | no | no |
| In-home | No in-home care | -- | -- | -- | -- | -- |

Disseminating Information: Information is disseminated through social service workers, SAU-WIN workers, through TV and newspaper spots and by word of mouth among consumers. Outreach activities are undertaken at the local level. Each social service worker is responsible for visiting clients and informing them of available child care services. No outreach activities exist to inform income eligibles.

Assessing Client Need/Referral and Follow-up: The factors considered in assessing client need for child care are: family composition, child's age, child's developmental stage, provider location, number of hours care is required. Based on assessment of parent/child needs, several providers are suggested to the parent who is encouraged to visit these and make a final selection.

The parent chooses the desired provider, after which the parent signs a day care contract. Follow-up medical treatment occurs within 30 days after contract has been signed. Where parents make their own arrangements they are required to contact a social services worker, thus the worker knows that services have been secured. Generally, social services workers visit providers within 30 days to follow up on the arrangement. A social services worker follows up on this arrangement once a month thereafter as part of caseload responsibilities toward the child receiving care.

5-3 RESULTS

Time period: 3 months (Provo)

| | |
|---|---|
| Number clients seeking child care referral | 40 |
| Number actively assisted | 20 |
| Number securing their own services | 20 |
| Number unable to secure services | 0 |

# 6. CLIENT ELIGIBILITY

## 6-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: Eligibility policy for child day care is developed by the Division of Family Services, with final approval by the Board of the Division of Family Services. The Office of Planning and Research compiles all policy for the state's Title XX plan and integrates them with the Title XX requirements.

The securing of completed applications is a function of the Master Services Unit within the district offices of the Division of Family Services. These applications are then forwarded to the district's Assistance Payments Administration offices where actual eligibility determination and processing takes place.

Level of Effort: No estimate could be given.

## 6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC, AFDC-WIN
- Income Eligibles, defined as families whose gross annual income is below 75% of the state median income ($794/mo. for a family of four).
- Full cost to families earning over 75% of the state median income.

Revisions Since the Passage of Title XX: A sliding fee schedule incorporating income eligibles was introduced in October, 1975.

## 6-3 PROCESS AND VOLUME

Applications: Standardized application forms, developed by the Management Analyst in the DFS, are in use throughout the state. The same form is used to apply for all social services.

In FY 74-75 an estimated 65,868 applications for all social services were approved statewide; this figure includes quarterly re-applications which are required. The number not approved is unknown.

Of the number, 8,628 were approved for child day care, including quarterly re-applications. Approximately 180 applications for day care services were found ineligible.

Eligibility Determination: Completed applications are secured by the Master Services Unit intake staff within the district offices of DFS. These are sent to the district Assistance Payments Administration offices where actual determination of eligibility is made.

Eligibility determinations must be made within 30 days of receipt of application. Services may start immediately after the determination of eligibility.

Quality Control: Clients are responsible for reporting changes in income or status that might affect eligibility. Documentation of income and/or AFDC status is also required. No standardized quality control procedures have been established throughout the state.

Redetermination of Eligibility: Eligibility is determined every 3 months, or within 30 days of any reported change in income or status. The same format as for the original application is used.

If clients are found ineligible, services are terminated after a 30-day period. Clients are informed of their right to appeal.

Appeals: No appeals were made in FY 74-75 at the local level. Statewide information was unavailable.

## 6-4 PARENT FEES

In lieu of an incremental sliding fee schedule, the state computes a day care fee based on the number in household and the gross monthly income. The applicant's gross monthly income is deducted from the "income limit" (adjusted for family size) that the state formulated to define income eligibility. The difference equals the maximum amount payable by the state.

For example: A mother with 3 children applies for day care services. Her gross monthly income is $700.

| | |
|---|---|
| $794.00 | Income limit, family of 4 |
| 700.00 | Less her gross monthly income |
| $ 94.00 | Maximum amount the State may pay |

Day care fees in excess of the maximum amount payable by the State will be the applicant's responsibility.

# 7. LICENSING

## 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The state Division of Family Services Advisory committee is responsible for the development of all day care licensing standards. Fire, health, sanitation and zoning agencies are represented on this committee and take part in the licensing process. The Board of D.F.S. has final approval of standards.

The state DFS' Support Unit program specialists are responsible for licensing and enforcement of licensing standards for day care centers and for coordination of licensing procedures with other agencies involved.

The district DFS' Facilitative Unit is responsible for licensing and enforcement of licensing standards for family day care homes.

There are no public centers, group day care or in-home care facilities in the state.

Staffing: At the state level, 3 licensing specialists (program specialists) each spend 75% of their time on licensing procedures for day care centers. They are also responsible for licensure of adult facilities, foster and disability care facilities.

At the local level in Provo, one social service aide spends 95% of her time in licensing procedures for family day care homes, and the remainder of her time with foster care program efforts. The number of family day care home licensing workers in the state is unknown.

Background: At the state level, licensing workers (Support Unit) generally have MSW degrees and are encouraged to take courses in child development.

At the local level in Provo, licensing workers (Facilitative Unit) must pass a civil service exam, with no child development background required. A weekly study group meets to discuss child care and DFS staff are encouraged to attend. Licensing workers can recommend closure of a facility or denial of a license, but the ultimate authority to close a facility rests with the Board of the Division of Family Services.

## 7-2 STANDARDS

Standards Development Process: The State Division of Family Services establishes licensing standards for the state's two provider types -- family day care homes and private day care centers. Standards for both these provider types are now being rewritten for the first time in 16 years by a licensing committee appointed by the Division of Family Services administrator. The committee included day care specialists, fire marshals, a few providers and consumers. A year-long effort produced draft standards and revisions currently under review by the Division of Family Services.

Content of Standards:

Staff-Child Ratios (Old standards; currently under revision)

| | Ages | Ratios |
|---|---|---|
| Centers: | | |
| | 2-3 | 1:10 |
| | 3-4 | 1:15 |
| | 5-6 | 1:20 |
| | 7-14 | 1:25 |
| Minimum/maximum ages: 2-14; number of children: 7-100 | | |
| Group Day Care Homes | none | |
| Family Day Care Homes: | infants-15 yrs.<br>(usually under 3) | 1:6<br>(including provider's own) |

Additional Components of Standards:

Areas covered in the licensing standards include the legal basis for licensing, health and medical care of children, general care of children, play equipment and activities, housing and equipment, records and reports, sanitation, nutrition and nursing.

Comparison of Standards with FIDCR: Utah's staff/child ratios are much less stringent than FIDCR; the state standards also do not include parent involvement or social services components. The standards are more specific on the private rights of parents and children and the revised standards (still in draft) have more stringent facility, health and nutritional requirements.

The major provider problems in meeting licensing requirements are in the areas of fire and sanitation and for relicensing in the area of physical plant condition since the buildings tend to get run down. The FIDCR components provided by the day care agency include preplacement assessment, referral to EPSDT and supervision after placement.

Utah had applied for a waiver for the FIDCR staff/child specifications, but no action has been taken on waiver request. Licensing is presently governed by the old standards, written in 1953, but the revised standards should be in effect in the near future.

Providers have not been surveyed to assess the number of them willing to comply with FIDCR; the staff consensus is that compliance with FIDCR staff/child ratios would force closure of many facilities.

There is no special FIDCR certification process before placement of FFP-elibible children in facilities.

## 7-3 SUMMARY OF ACTIVITIES

| Provider Type | Sanction Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total # | # Sanctioned | % Disq. | Planned | Actual |
| Public Centers | Not Used by State. | | | | | |
| Private Centers | License | 85 | 85 | 0 | Annual | Annual |
| Group Day Care Homes | Not Used by State. | | | | | |
| Family Day Care Homes | License | 940 | 940 | 0 | Annual | Annual |
| In-Home | Not Used by State. | | | | | |

Fees for Licenses: none.

Content of License: Day care licenses include:

- date of issue
- expiration date
- maximum number of children
- maximum hours
- child age range
- limitations

Family day care home licenses include:

- date of issue
- expiration date
- maximum number of children

## 7-4 LICENSING PROCESS

Areas of Investigation: For family day care homes, the investigation includes the physical characteristics of the home, provider characteristics, and provisions for education programs. For centers, the facilities' physical characteristics, staff characteristics, education, nutrition and health components, and verification of child medical clearances, are included.

Extent and Nature of Process: For family day care homes a structured format is used to conduct licensing studies but no formal means other than "word of mouth" exists to inform family day care home providers that licenses are required. These studies are generally completed in 1 visit and the lapse between study initiation and the receipt of the license is 1-3 weeks. This variation is accounted for by impediments like receipt of references and conclusion of provider's personal physical exam.

A structured format is also used for centers with between 5-10 visits generally required to complete each study. The duration between study inception and receipt of license is 30-40 days. Inspections from all collaborative agencies is usually the greatest impediment to completion.

Conditional (Provisional) Licenses: Provisional licenses are issued for 6 mos. with no renewals. Regular licenses are issued with a time period designated for correction of deficiencies. For family day care homes, the provider usually may continue service during the correction period and follow-up occurs within 1-3 months to ascertain whether the problems have been rectified. The number of family day care homes with "conditional" licenses is unknown.

For day care centers, a notation is placed on the regular license with 90 days given for compliance. Where conditions are not met within this time period, the facility can be closed. However, this has never happened. No "conditional" licenses were issued this past year.

Revocations: No family day care home licenses were revoked last year. The process, when initiated, allows the licensing worker to notify the provider of the revocation date with justification for the revocation detailed. If the licensing worker so judges, the revocation can take place. A provider is entitled to a hearing before a state examiner before the revocation is complete.

One license for centers was revoked last year. The usual process entails notification of the provider by licensing workers with a hearing date specified. If revocation occurs, provider has 30 days to appeal before the district Director of Family Services. Where children are deemed to be in immediate danger, centers are closed before a hearing takes place.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

The licensing program specialists in the state Support Unit of DFS have the responsibility for monitoring day care centers as well as licensure and relicensure of these centers. Their particular emphasis is on program components and health and safety compliance with standards. Two staff members at the state level together spend 1/2 FTE on this effort.

At the district office of DFS in Provo, 1 social service worker and 2 social services aides in the Facilitative Unit monitor the centers and family day care homes in their caseload. Their particular emphasis is on program areas and the child's progress.

There is little coordination of monitoring efforts between the state and local levels. Local staff expressed a need for more staff to do effective monitoring.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

| Provider Type | By Whom Monitored | Percent Monitored | | | Frequency | Av. Time Per Unit |
|---|---|---|---|---|---|---|
| | | Of All Sanctioned | Of All Serving FFP's | Of All Contracted | | |
| Public Centers | -- | | | | | |
| Private Centers | State Licensing Program Specialist | 100% | 100% | 100% | Every 3 mos. | 1½ hours |
| | District Facilitative Unit | 100% | 100% | 100% | Monthly | 1½ hours each |
| Group Day Care Homes | -- | | | | | |
| Family Day Care Homes | District Facilitative Unit (Licensing Staff) | 100% | 100% | 100% | Monthly | 1½ hours each |
| In-Home | -- | | | | | |

## 8-3 PROCESS

The state staff uses a checklist to monitor centers. This covers the same areas as for the licensing study. District staff do not utilize a checklist, but rather conduct open-ended interviews to ascertain program compliance and progress of child.

The dominant strategy for both state and district monitoring efforts is the surprise site visit.

State staff estimated that 33% of the centers are found to be out of compliance at some time during the year in some aspect of center care. The major areas of compliance difficulty are staff/child ratios, upkeep of physical plant, staff training and nutrition.

District staff reported that approximately 25% of the family day care homes are out of compliance at some point during the year. The major problem areas mentioned were staff/child ratios, staff training, discipline and nutrition.

State staff follow-up consists of notification to provider of area of non-compliance, setting of target date for achieving compliance, on-site visits to ascertain progress, and technical assistance if necessary. If compliance is not achieved, the license can be revoked, after approval of revocation by the state DFS director and after notification of appeal right to provider.

District follow-up for areas of non-compliance consists primarily of on-site consultation with the provider. At the next monthly visit, the monitors ascertain if compliance has been achieved. A narrative monitoring report is completed after each visit.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: Program specialists in the Program Unit of the Division of Family Services have primary responsibility for providing training and technical assistance to district staff; both also have other responsibilities. It is estimated that 1 FTE is spent on training and technical assistance activities. No special budget allocation exists for this effort. Staff indicated that a special budget and additional staff would benefit the training and technical assistance efforts.

Local: The social services supervisor and two social services aides in the Facilitative Unit of DFS are all engaged in providing training and technical assistance to providers. The time allocated for training and technical assistance is about 1/8 FTE, and is interwoven with the monitoring effort. No money is specifically allocated to training and technical assistance. The staff indicated that a special staff member is needed to make an adequate effort.

Staff Background: State: M.S.W. or an M.A. in child development, in-service training.

Local: High school diploma, weekly study sections of 1-2 hour duration in child development procedures.

### 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| District Facilitative Unit (licensing & monitoring staff) | DFS State staff | Consultation on interpretation of standards | unk. |
| All District Staff | DFS State staff | Technical assistance in proposal writing skills to be used in helping providers write proposals; development of training skills to be used when training providers; development of preplacement instrument to measure child's learning level | unk. |

Provider Training and Assistance

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Providers | DFS State staff | Technical assistance in all areas | unk. |
| New Providers | DFS District staff | Orientation meeting: covers licensing requirements, safety, facility, payment, recordkeeping | 1-2 hrs. |
| Teenage Providers | DFS District staff and high school adult education program | Class prepares young women to become day care providers | 1-2 hrs. |
| Providers | DFS District staff | Distribution of available materials on request (e.g., program aids, nutrition, play materials) | |

## )-3 PROCESS

The methods used to identify training and technical assistance needs include:

- Requests from potential providers
- Results of monitoring and relicensing efforts
- Problems at district level coming to the attention of state staff

Providers need training specifically in nutrition, child guidance and structuring of program, according to respondents.

Staff needs training primarily in development of skills used to train providers and in interpretation of licensing standards.

Training and technical assistance is provided through site visits, telephone calls, direct consultations and small meetings.

## 9-4 RESULTS

Identified needs for training and technical assistance are estimated to be largely unmet. Locally, with minimal staff and monetary allocations, there is difficulty in eliciting the interest of providers in training.

State and local staff noted that the current emphasis in the state is on computerization of the information system.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Structure:

State - The fiscal function is performed by the Budget Unit in the Office of Administrative Services within the Department of Social Services. It provides fiscal support for all social services including child care.

Local - A budget and accounting officer responsible to the local Division of Family Services (DFS) is responsible for local fiscal matters. This includes primarily provider payment, auditing and data processing functions.

Function: The state fiscal unit functions primarily as a support unit to program staff. Program staff, with approval by the D.F.S. director, determine initial program expenditures each year, but meet with fiscal staff in order to decide on budget priority items to arrive at the final proposed budget.

The budget office staff have periodic meetings with D.F.S. administrators throughout the year to make recommendations regarding over- or underspending.

### 10-2 FISCAL MATERIALS

All materials other than line item budget formats are available and used. All were developed by staff in the Division of Family Services. Policies, Regulations, Explanatory Guides, contract forms, fee schedules and audit report forms were rated good by state and local staff. Rate schedules and provider billing forms were rated excellent by local staff.

### 10-3 INCOME SOURCES

| Source | FY 74-75 | FY 75-76 |
|---|---|---|
| Title XX/IV-A | $1,391,800 | $2,415,751 |
| WIN | 421,200 | 487,200 |
| TOTAL | $1,813,000 | $2,902,951 |

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | FY 74-75 Expenditures |
|---|---|
| Purchase of Service<br>Contracted Facilities | -0- |
| Vendor-Paid Facilities | $1,586,194 |
| Direct Provision/Operation | -0- |
| Client Purchase, with social service funds | -0- |
| Client Purchase, with income maintenance funds | -0- |
| TOTAL | $1,586,194 |

Description of Funding Methods/Processes:

| Provider Type | Contracts |  | Expenditures |
|---|---|---|---|
|  | Written? | Comprehensiveness |  |
| Centers | yes | very | $ 733,540 |
| Family Day Care | yes | very | 852,654 |
| TOTAL |  |  | $1,586,194 |

A. Purchase of Service: All child day care services are purchased through vendor payments to both day care center and family day care home providers.

A vendor payment agreement is used to secure arrangements with providers. It is a contract formulated in accordance with state guidelines. The guidelines contain all of the required Title XX components. The Division of Family Services has a special contract officer who writes and negotiates each contract and reviews it. After the contract officer's acceptance of the contract, the fiscal unit approves it and the attorney general reviews it for accuracy.

No subcontracting is done.

The quality control procedures used in paying provider invoices include:

- Annual visits by the contract monitoring team to assess the degree of compliance with state standards.
- The local payment worker receives the preprinted invoice signed by provider for correctness of attendance, number of children. The worker matches the invoice against individual eligibility data once a month.

- At the state level, the information on the invoice is checked against the computer information. In the event of a discrepancy, the computer will reject the invoice.

The normal time lapse between receipt of an invoice and issuance of payment is 7 days.

When an overpayment is identified, district office staff are notified; they in turn notify the provider. The provider either refunds the overpaid amount or the amount is adjusted in the next payment.

B. Direct Provision: none.

C. Client Purchase: none.

10-5 RATE ESTABLISHMENT

Unit of Measurement: Per child day, per child hour.
Full day: 5-10 hrs.; ½ day: 4.5 hrs.; hourly: if care is less than 4 hours or more than 10 hours.

| Provider Type | RATES | | |
|---|---|---|---|
| | Basis | Average | Flat Rate |
| Centers | Rates charged ineligibles at same facility; based on 75% of clients | | $4.60 full day; $3.35 ½-day with lunch; .75 per hour |
| Family Day Care Homes | Rates charged other users by same providers | | $3.85 full day; $3.00 ½-day with lunch; .60 per hour |

Absences: For child enrolled full time, up to 5 days absence is usually paid per month. Provider contacts service worker on 2nd day of child's absence. Service worker contacts parent, and notifies provider of approval for absence or discontinuance of child's enrollment.

10-6 IN-HOME CARE

In-home care was terminated because compliance with the minimum wage law made it potentially too expensive.

10-7 INCOME ELIGIBLES AND PARENT FEES

The state perceives its income eligibles and corresponding parent fees in a unique way.

A formula is used to compute the amount of money the state will pay for day care services for families with different income levels. An income limit is set for families of different size, above which the state will not pay anything toward day care.

The amount the state will pay is computed by deducting the applicant/recipient's gross monthly income from the income limit specified for the number of persons in the family. The difference is the maximum amount payable by the state. (See Client Eligibility, Policy Provisions for more detailed account of state system). Thus, rather than calculating the amount the parent must pay, the amount the state must pay is calculated.

## 10-8 DONATIONS

Not specified by state.

# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The Agency of Human Services is the designated state social service agency. Within the agency there are nine separate program departments and offices and two internal administrative support divisions. Of these the Department of Social and Rehabilitation Services (DSRS) has responsibility for the management of the state's social service programs, including child care. The Division of Social Services within SRS has responsibility for child care services.

The Office of Child Development within the AHS has responsibility for day care licensing, monitoring for compliance, and training and technical assistance.

In addition, the state Day Care Advisory Committee has input into day care standards and policy development. Members of the committee are also members of the Governor's Committee on Children and Youth, an advisory committee to the executive branch of the state government.

Fiscal management is the responsibility of the agency's internal Division of Administrative Services. The Division services all social service programs including child care. Its functions are essentially non-programmatic and include providing program staff with financial statistics, reviewing proposed program expenditures, developing cost estimates of new and revised services, and regulating provider payments.

In each of the 12 District Offices of the Division of Social Services, there is a social service unit comprised of one or more social services workers. They are responsible to the DSS district director, who in turn is responsible to the state DSS director of field operations. The district social services workers are responsible for service delivery at the local level, including child day care.

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The Vermont site visit was conducted in January, 1976. Interviews were held with ten state staff members, and with two staff members at the district office in Brattleboro.

## 1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

| | Expenditures FY 74-75 | Allocations FY 75-76 |
|---|---|---|
| Total Social Service Funds (Titles IV-A/XX) | 6,490,739 | 9,699,369 |
| Total Child Care Funds (Titles IV-A/XX) | 1,985,563 | 3,017,531 |
| Percentage of Total Social Services Funds Allocated to Child Care | 30% | 31% |

The Comprehensive Annual Services Program Plan (CASP) for Vermont is a 9 month plan (October 1, 1975 - June 30, 1976). Figures shown in the plan for Social Services and Child Care are 7,292,758 and 2,268,821, respectively. These figures have been annualized by multiplying by a factor of 1.33.

The allocations for child care are for normal children only and include direct and indirect services.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Sanctioned* Providers | Number FFP Children | Actual Expenditures FY 74-75 | Anticipated Expenditures FY 75-76 |
|---|---|---|---|---|
| Public Centers | THIS CATEGORY NOT UTILIZED | | | |
| Private Centers | 58 | 1,093 | 1,447,791 | NO BREAKDOWN AVAILABLE |
| Group Day Care Homes | 5 | 22 | 16,054 | |
| Family Day Care Homes | 531 | 1,127 | 753,954 | |
| In-Home Care | THIS CATEGORY NOT UTILIZED | | | |
| TOTAL | 594 | 2,242 | 2,217,799 | 2,487,876* |

*Including WIN funds.

Very few FFP children are served by in-home providers; instead, they are placed in family day care homes. Facilities are open to and generally serve a combination of FFP eligibles and non-eligibles.

## 1-4 INFORMATION SYSTEM

Nature of Records:

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative Social Service Case Records | yes | family | local |
| Standardized Social Service Forms | yes | family | local |
| Computerized Records | yes | family | state/local |

Extent of Data: All information pertaining to client identifiers, nature of service, and income information, is maintained both on computer records and standardized social service forms. In addition, goal data and eligibility information is retrievable through the computer. The social service forms also contain information pertaining to service provider, demographic descriptors, employment status of parents, and family size and composition. A specific service plan is written in the narrative social service case records, but is only actually written in special needs cases. The quantity of service provided, cost, fees to parents are listed on the billing form, a copy of which is part of the district workers' file.

Data Aggregation: Data is collected at the local level, compiled at the Agency's Division of Administrative Services. A computer system to generate the type of report meeting SSRR, is presently being worked on. At this time, a quarterly cost allocation and expenditure report is generated.

No problems are anticipated by the state to complete the Social Service Reporting Requirements.

## 1-5 STATUTES

None

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

State licensing and local SRS staff point to clear, well-defined policies and procedures, and good communication among various state and local offices, as a key strength. A reliable provider payment system also adds effectiveness to the program.

The state SRS staff felt, however, that responsibility for child day care management is assigned to too many different departments, each of which operates more autonomously than is needed, for monitoring efficiency of operation.

## 2. NEEDS ASSESSMENT

No needs assessment study was undertaken, due to Title XX time constraints. A decision was made not to expand child day care under Title XX, because the ceiling had already been reached. Title XX planning was based primarily on data collected for plans for Title IV-A and VI.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

On-going Planning: Social services planning is the responsibility of representatives from each program area. No major child care planning efforts were undertaken prior to Title XX. Service projections were made by staff in the Office of Child Development.

Title XX Planning: Overall, Title XX planning was the responsibility of a committee made up of one person from each of the major program areas, 8 to 12 staff members in total. The committee worked with staff from the two internal administrative support Divisions within the Agency for Human Services.

### 3-2 PLANNING PROCESS

The planning process became the continued effort of the Title XX planning committee met for four hours per seek for a period of 2 months, and one day per seek for one month. The effort was more extensive, more organized than previous efforts. It contained a review of all previous funding and decisions on refunding of selected program areas.

Title XX requirements were reviewed. WIN and other social services planning was interfaced; Title XX plan budgets for child day care include WIN.

### 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types and Numbers | Comparison |
|---|---|---|---|---|
| Total number to be served | yes | yes | 2,015 children | |
| Population Categories to be served | yes | yes | AFDC, WIN, SSI = 1,700; income eligibles = 315 | same |
| Priority Population groups | no | no | --- | -- |
| Service Provider Types | no | no | --- | -- |
| Special Provider attributes | no | no | --- | -- |
| Geographic Areas | no | no | --- | -- |
| Dollars Allocated for Child Care Service | yes | yes | $2,268,821* | more |

*includes day care licensing & eligibility determination ($238,361); exclude WIN $219,055

Planned Organizational Changes: All SRS payments were centralized as a result of Title XX requirements. The planning process itself was changed to include district staff and achieved greater involvement of providers and consumers for next year's plan.

3-4 UTILIZATION/IMPLEMENTATION

The above changes were implemented. Since day care funding is considered to remain at a stable level, no plans for an increase in service through outreach programs are made.

## 4. EVALUATION

No child care evaluations have been conducted.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

While information and referral services are generally available at both the state and local levels, no specific department or bureau is labelled I&R. An interagency child care committee is presently being set up, with representatives from the Agency of Human Services and the State Department of Education. This committee aims at establishment of a statewide interagency information and referral system.

Presently, child care information and referral is provided mostly by social services workers and WIN workers in the district offices. At the state level, the licensing staff in the Office of Child Development has the greatest involvement in providing information and referral.

### 5-2 PROCESS

Assembling Information:

| Provider Type | Systematized | Freq. of Updates | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hrs. | Cost | Avail. |
| Centers | yes | monthly | x | x | -- | -- |
| Homes | yes | monthly | x | x | -- | -- |
| In-home | yes | monthly | x | x | -- | -- |

The licensing technician in the Office of Child Development assembles information on facilities statewide and makes each update available to the child development specialist in the Department of SRS. Each district eligibility worker receives updates from SRS monthly. In-home care information is assembled locally and is infrequently used.

Disseminating Information: There are no formal outreach efforts. Word of mouth is the method most often utilized for disseminating information, often through social services workers.

Assessing Client Need/Referral and Follow-up: The district social services worker assesses the need for child care based primarily on the child's personality/developmental level. The parent has a placement preference 50% of the time; efforts are made to place the child in the preferred facility. If the parent has no preference, three providers are chosen after conversation with the client. The social services worker calls to determine opening, and urges the client to make a pre-placement visit at the facility. The securing of medical exams is the responsibility of the provider. SRS is not involved in securing/providing medical examinations.

For AFDC clients only, the SAU worker assesses the need for child care and refers the client to the district social service worker for actual placement.

The normal assessment procedure requires approximately 20 minutes. The client, after referral to the social services worker, maintains contact with the same worker throughout the referral process. No regular follow-up is conducted outside of periodic redetermination of eligibility, although there is follow-up as necessary, appropriate and feasible and SVC plans are developed for children receiving day care because of their mental retardation or "at risk" status or because of their parent's incapacity.

## 5-3 RESULTS

Time period: Three months in Brattleboro.

| | |
|---|---|
| Number clients seeking child care referral | 90 |
| Number actively assisted | 58 |
| Number securing their own services | 30 |
| Number unable to secure services | 2 |

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

Both the establishment of eligibility regulations and the development of standardized application forms are the responsibility of the child development specialist in the Department of SRS. The securing of applications and actual determination of eligibility are carried out by the district level social services worker. A fee schedule has been developed by SRS staff in conjunction with the administrative services staff of the Agency of Human Services.

### 6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-non-WIN
- AFDC-WIN
- SSI
- Income eligibles: Defined as anyone whose gross family income does not exceed 92% of the state's median income adjusted for family size. The fee schedule indicates that:
  - Child care is free for those who earn up to 50% of the state's median income adjusted for family size ($500/mo. for a family of four)
  - A sliding fee scale is used for those who earn 50% to 92% of the state median income (from $500/mo. to $920/mo. for a family of four)
  - Fees paid by the client increase in increments of 5% of total cost of child care, from 5% to 90%
  - The fee increase is very rapid at the upper level of the income level; the client pays, for instance:
    50% of day care fee on income of $874 (family of four)
    75% of day care fee on income of $907
    90% of day care fee on income of $920.

The current fee schedule is new and subject to revision after a 90-day trial period and feedback from staff, consumers and providers.

Qualifying conditions for eligibility include the parent being employed, in training or incapacitated; or the child needing supervision as a protective service or because of mental retardation.

There are no designated population priorities.

Revisions Since the Passage of Title XX: The fee schedule was revised three times to its present form. Payment for day care can be made up to 30 days from date of application request by client, rather than receipt of completed application, if client is found eligible and child is immediately placed in a facility.

A new guide for use by district workers was developed.

The minimum wage for regular in-home care providers was established at $2.30 per hour, in line with federal statutes.

Materials to Ensure Uniform Interpretations: Guides for use by district workers were developed by the child development specialist. The guide covers all areas necessary for determination of eligibility under Title XX.

6-3 PROCESS AND VOLUME

Applications: Standardized application forms developed by SRS are in use throughout the state. Applications are always secured by the district-level social service worker.

The number of applications received for all social services and the proportion of child day care applications is not known. In the Brattleboro district office, 1 FTE is allocated to process child care applications. This is considered barely enough. Statewide, 15.5 FTE are allocated to child day care at the district level, most of whom spend their time on client eligibility determination and authorization for care.

Eligibility Determination and Verification: The client is considered the first source of information and is responsible for providing the documentation requested by the social services worker and for notifying the worker of any change in status affecting eligibility or change in provider. The social services worker verifies assistance status for AFDC clients with the district Department of Social Welfare. Clients usually begin to receive services immediately after eligibility is determined. In cases when the application is completed by the client at home and returned to SRS within 30 days, the social service worker may authorize payment of service from the date the application was secured by the client.

There is no time lapse between application completion and determination of eligibility. Same day determination is the norm.

Quality Control: Clients are responsible for reporting changes in status that might affect eligibility. The state quality assurance specialist in the Agency of Human Services division of Administrative services randomly checks eligibility of a small sample of clients as part of an accuracy test of provider attendance report.

Redetermination of Eligibility: Eligibility is redetermined every 4 months, using the same form and format as the initial eligibility interview. A time table of eligibility redetermination was established in order to assure a smooth process:

1. 30 days before eligibility expiration, a new application and notification is sent to the client by the district social service worker.

2. Client has 12 days to return the completed application.

3. After receipt of completed application and 10 days before eligibility expiration, client is notified of eligibility decision and appeal procedure.

4. If a new application is not returned, service is discontinued at the eligibility expiration date, a letter notifying client of discontinuance and appeal procedure is sent.

Appeals: At the Brattleboro district level, two appeals were filed in the past year. Both were denied.

## 6-4 PARENT FEES

A sliding scale fee schedule developed at the state level is implemented by the local social service worker who assigns the fee to the client. Collection of fees is the provider's responsibility.

## 7. LICENSING

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Office of Child Development has overall responsibility for the development and enforcement of day care licensing standards for centers and homes. The Department of Health and the Department of Industry regulations are also used by O.C.D. staff in licensing. Licensing is regulated at the state level, with the licensing staff being directly responsible to the director of O.C.D. There is no licensing activity carried out by district staff.

Staffing: Statewide, there are 5 field specialists, who spend about 80% of their time in licensing and relicensing. The remainder of their time is devoted to monitoring for licensing compliance and providing training and technical assistance to providers. Information on licensing requirements is mailed from O.C.D. upon request by potential providers.

A position for environmental sanitarian in O.C.D. is presently vacant. This staff member's responsibility would be to assure licensing compliance with national life safety codes. A fire marshall assigned to O.C.D. carries out licensing visits to check compliance with fire protection regulations. Coordination takes place through weekly meetings of all staff of O.C.D. All licensing staff can recommend license denials and revocations, with final decision to be made by the O.C.D. director, and provider to be informed of right to a fair hearing.

The minimum educational background for field specialists is a B.A. and on-the-job training in all aspects of licensing. Staff members are encouraged to undertake additional training on their own, in areas of relevance to their profession.

In-home care is rarely used; an approval process for in-home providers is used by O.C.D.

### 7-2 STANDARDS

Standards Development Process: The standards for centers and day care homes were updated in October, 1973, with a special update on health and environmental regulations in August, 1974.

The initial draft of the new licensing regulations was written by the field specialists and recommended by the O.C.D. director. Public notices of hearings on the proposed standards were issued, four hearings were held, and notices of the proposal of new standards was sent to 200 providers. About 1,000 questionnaires regarding licensing standards were given or mailed to interested parties; only 60 were completed and returned, however.

The proposed standards were also reviewed by specialists in childhood education; health and sanitation department staff; and the members of the day care advisory committee.

In-home care standards were revised in April, 1975, by O.C.D. staff.

Content of Standards:

Staff-Child Ratios

| | Ages | Ratios |
|---|---|---|
| Family Day Care Homes: | | |
| | 0 through 6 | 1:6, including provider's own pre-school or housebound handicapped child; No more than 2 under 2 yrs. without additional staff |
| Group Day Care Homes: | | |
| | 0 through 12 (max. 12) | 1:6, including provider's own pre-school or housebound handicapped child; No more than 3 under 2 yrs. |
| Centers: | | |
| | 24 through 36 mos. | 1:5 |
| | 3 through 5 years | 1:10 |
| | 6 through 15 years | 1:12 |

Other components addressed in the standards include:

- Admission procedures
- Record keeping and reporting
- Parent involvement
- Environment, including safety
- Equipment
- Transportation
- Schedule
- Curriculum
- Health
- Discipline
- Staff qualifications -- including health, training

Comparison of Standards and FIDCR: In October 1975, O.C.D. staff in order to assist providers in understanding FIDCR, mailed a summary of the differences between FIDCR and state licensing requirements, with an explanatory cover letter, to all day care providers. The following differences were noted:

- For day care homes and group care homes, the adult-child ratio is less stringent than FIDCR.
- For centers, the adult-child ratio for children over four is less stringent than FIDCR; no maximum group sizes is established.
- Staff training requirements are less stringent than FIDCR.
- State standards do not specify priority groups.
- State standards do not contain a social services requirement.
- Health Services: No state standards requiring health services other than medical records keeping.
- Administration and Coordination: No state standards pertaining to (a) personnel policies; (b) methods of recruiting giving priority to welfare recipients and low income applicants; (c) publication of policies and procedures governing required program services, financing, continuous evaluation and development of program.
- Evaluation: No state standards specifying self-evaluation by local operators.
- Transportation: State standards cover transportation; FIDCR does not.
- Discipline: Not specified in FIDCR; specified in state standards.
- Facilities: State standards are more explicit than FIDCR.

It is not known how many providers would willingly comply with FIDCR; according to the staff, state standards are similar enough to FIDCR to make FIDCR compliance feasible, if necessary. Although the licensing checklist has specific questions directly indicating FIDCR compliance or non-compliance, a license is still granted if the provider is found to be in compliance with state regulations. There is no FIDCR certification process.

In a sample survey in 1975 of 75 centers, staff found that 75% of the sample had no "significant" non-compliance problems with FIDCR.

Summary of Comments about FIDCR:

- O.C.D. staff feel that a FIDCR compliance mechanism should come from SRS and only involve FFP children, and should not be a part of the general licensing process.

- Providers should not be required to conform to child-staff ratios which are not based on a solid study showing them superior for child development.

## 7-3 SUMMARY OF LICENSING ACTIVITIES

| Service Type | License/Appr. Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total # | % Lic. | % Disq. | Planned | Actual |
| Private Centers | License | 64 | 100% | none | annual | annual |
| Group Day Care Homes | License | 18 | 100% | none | annual | annual |
| Family Day Care Homes | License | 334 | 50% lic., 50% cond. | 25% | annual | annual |
| In-home | Approval | 7 | 100% | | annual | annual |

The number of family day care homes serving FFP children decreased from 588 to 334 in the period from December 1974 to December 1975. The total number of FFP children served (including WIN) in December 1974 was 2,385; in December 1975 it was 1,688.

Possible reasons for this decrease mentioned by state and district staff, could be:

1. Unemployment, lack of training: decrease in need for FFP child care;
2. In October 1974, about 75% of day care homes were operating on a conditional license. Since then, efforts have been made to enforce time limits on operation with conditional licenses, and to enforce licensing regulations. Home providers may not have been willing or able to bear the financial burden of bringing the home up to standards.

Fees for Licenses: none.

Content of License: The license for centers, family day care homes and group day care homes includes:

- Date issued
- Expiration date
- Maximum number of children to be served
- Address where service is to be given
- Ages of children to be served
- Hours open
- Days operated

For conditional licenses, the same form is used and it is stated that the license is conditional on compliance with the areas listed.

For in-home caretakers, a certificate of approval in the form of an identification card is issued. It contains the name and address of provider, and the expiration date.

## 7-4 LICENSING PROCESS

For in-home care, the applicant must demonstrate a "reasonable knowledge" of in-home caretaker regulations, verbally, to the field specialist. (There are very few approved in-home caretakers).

For day care homes and group homes a checklist is used which covers:

- description of home or facility
- experience of provider
- type of children served (normal or handicapped)
- program characteristics, provider philosphy
- discipline
- health
- daily curriculum
- staff policies
- equipment
- references (5 in number)

A detailed assessment form is used for centers. The form serves as a basis for licensing, relicensing, establishing training and technical assistance needs, possible procedural change. A score is given for each section, indicating sections of weakness or non-compliance. Several items pertaining to FIDCR are counted as a separate score; both scores are reported, but issuance of the license is not impeded if the FIDCR score is low. Emphasis is placed on meeting state regulations.

Sections covered in the assessment form:

- administration
- facility - including transportation, child's health, staff development, nutrition, program, social services, psychological services, interaction of staff and children, child abuse.

Extent and Nature of Process: All known providers have been licensed, at least conditionally. Many providers hear that a license is required by word of mouth; others become aware of the need for a license through the FFP mother who is told that she needs a licensed provider.

There is a structured format for conducting the licensing studies. For homes, one visit is usually required, the license is usually received 5 to 6 weeks after application. Fire and sanitation staff visit the homes of 1/3 of the applicants, when the field specialist indicates the existence of a special problem. Permission to provider service is granted to the provider until his application is approved, approved conditionally, or denied. Time constraints due to staff work load causes delay in carrying out licensing studies.

The cost of a fire extinguisher, and the deposit necessary to establish telephone service, increase the home providers' cost of providing services. Along with heating and water problems they are the main areas of difficulty in complying with standards.

For centers, at least 5, sometimes more, visits are required over at least a two month period. The time is needed to bring the provider into full compliance with state regulations. The provider may begin serving children upon the receipt of the license. Deficiencies in floor space, lavatories, food preparation, liability insurance, are the main problem areas for centers in meeting licensing requirements.

Follow-up consists of compliance visits, availability of training and technical assistance in response to providers' requests.

Conditional Licenses: After the initial licensing visit, the provider is either granted a license, denied, or granted a license containing a description of the non-compliance areas which make it conditional (The conditional license is granted only if the non-compliance is considered minor by the field specialist.). The letter carries a time limit of 30 days for compliance; this time limit can be extended, however. State licensing staff set the limit on operation with a conditional license at 90 days, state administrative and district staff indicated that day care homes are allowed to operate on a conditional license for a much longer period of time, up to one year.

In December, 1975, about 50% of the day care homes operated on a conditional license. It is not known how many centers were operating on a conditional license.

Revocations: The following procedure takes place when a license is revoked:

- Field staff recommends that a license not be renewed, or be revoked, to the director of O.C.D. This takes place if compliance dates have not been honored repeatedly.
- The O.C.D director informs the provider of the denial, the reasons for it, and the appeal procedure.
- Legal action to close the facility takes place if the appeal fails.

Two appeals were filed in the state in the past year. Both were denied.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Office of Child Development within the Agency of Human Services has responsibility for monitoring child day care. All day care monitoring activities are carried out by five field specialists, who are directly responsible to the O.C.D. director, and are assigned 5 different geographic areas in the state. Monitoring visits are termed compliance visits and are considered an integral part of the licensing process.

Local staff is not involved in the monitoring effort.

The field specialists' main activity lies with licensing centers and homes; other responsibilitiies include provision of training and technical assistance and licensing headstart centers. The staff's role is seen as one of service in addition to licensing.

Staff allocations are considered inadequate for frequent monitoring. Three more FTE are needed, according to O.C.D. staff.

### 8-2 MONITORING ACTIVITIES

| Provider Type | By whom monitored | Percent Monitored | Frequency | Av. Time per unit |
|---|---|---|---|---|
| Child Care Centers | OCD Field Specialist | | average: 3½ visits per year | 30 min. |
| Family Day Care Homes | | | | 5-30 min. |

No statistics are kept on the number of facilities monitored. Although the attempt is to monitor 100%, in practice, priority is given to monitoring problem facilities first and as often as necessary (this is due to the large caseload per field specialist).

### 8-3 PROCESS

The compliance visits are 99% unannounced site visits. Priority is given to visits in response to problems brought to the agencies' attention. A checklist is used by the specialist, areas of non-compliance are identified, and the observations discussed in the comment section of the checklist.

In order of priority, areas of non-compliance posing a possible threat to health and safety are considered most severe; programmatic deficiency or administrative deficiency is considered proportionately less severe as an area of non-compliance.

O.C.D. staff reported that 50% of the centers and 90% of the homes are out of compliance in a minor aspect. The areas of greatest compliance difficulty were: facilities up to standards, up to date medical records on children and staff, and record keeping.

When centers and homes are found to be out of compliance:

- the field analyst provides technical assistance on the spot if possible;
- if this is not possible, a request form for technical assistance is filled out by the field analyst, and an outside consultant who can satisfy the providers' particular need is found by O.C.D. from a list of consultants in various areas kept by O.C.D.
- the provider is informed of the area of non-compliance;
- a technical assistance visit is made, a target date for compliance is set;
- one or more follow-up visits are made;
- if compliance is still not achieved, the license revocation process and appeals procedure can begin, and funds withheld.

Effect of Monitoring: The state OCD staff indicated that monitoring has been an effective means of input to new licensing regulations, change in procedures, change in environmental health regulations. A file of exceptions to regulations, of areas of compliance difficulty is maintained by O.C.D. on providers. If the difficulty is found repeatedly with many providers, consideration will be given to adapting the licensing requirements to the provider in order to bring about compliance.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The Office of Child Development staff has primary responsibility for providing training and technical assistance to centers and homes throughout the state. One Day Care Resources and Training Specialist coordinates training and technical assistance requests by the five field staff members who perform training and technical assistance functions in addition to licensing and monitoring. A technical Assistance Coordinator is responsible for statewide provision of technical assistance as needed. This position is presently vacant. 2 FTE are allocated to providing training and technical assistance related to child day care, by O.C.D. staff. $2,500 is allocated for staff training, $4,700 for provider training in FY '76. One full time state coordinator in the Office of Manpower Development is responsible for recruiting 50 Senior Vermonters over age 45 to become day care staff. This is done in close cooperation with O.C.D.

Local: No local training and technical assistance component exists. Social Services workers provide information on, and referral to, training and technical assistance state staff, or rely on their own knowledge of local resources for referral.

Staff Background: O.C.D. field staff generally have at least a B.A. in social work or a related field, and on-the-job training in addition to continuous training of 5-10 days per year. Supervisory staff generally have a master's degree in early childhood education or public administration, or a related field.

### 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| OCD Staff | Workshops given by experts in various fields | Workshops are offered, e.g., the legal aspects of licensing; early childhood program areas | 5 to 10 days per year per staff member |
| District social services worker | OCD staff child development specialist & outside consultants | Workshops in areas relating to child day care; familiarization with new procedures. | as needed |

Provider Training and Assistance

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Center and home providers | OCD staff, outside consultants | Training and technical assistance in all areas of child day care, as needed | 2-3 hrs. each |
| Center and home providers | OCD staff, outside consultants | Training in day care management and set up workshops in 10 regional training sites | unknown |
| Senior Vermonters (over age 45) | Community colleges, contracted to OCD) | 1 year training program to 50 Senior Vermonters to become day care staff | 1 year training |

The areas and number of requests for technical assistance from March 1974 to March 1975 are listed below:

Number of Requests, by Program Area:

| | |
|---|---|
| Child & Human Development | 26 |
| Program Design and Curriculum | 28 |
| Administration and Management | 52 |
| Physical environment | 2 |
| Community and Parent Involvement | 5 |
| Total | 113 |

## 9-3 PROCESS

The methods used to identify training and technical assistance needs include:

- Primarily, "Request for Technical Assistance" forms filled out by the field specialists as a result of a licensing, relicensing, or compliance visit. The forms used in these visits point out areas of deficiencies, after completion.
- A "Request for Technical Assistance" form filled out in response to a provider's request.
- Requests by district staff for training and/or technical assistance.
- Needs for training of district and O.C.D. staff are recognized after a substantial change in licensing, eligibility or other procedures has taken place.

Day care home providers were identified as the group with the greatest need for ongoing training and technical assistance. They were also identified as a group open to technical assistance but resistant to training. The latter is due to a reluctance to travel to a training site and spend the time required for training.

The major need among family day care home providers is for all-inclusive training in child development and day care.

Center providers need training and technical assistance mainly in administration/management, space and equipment utilization, nutrition planning.

Site visits, on-site provision of technical assistance by staff and consultants is the method most often used for technical assistance provision. Training is usually provided through workshops, seminars, group meetings.

## 9-4 RESULTS

State officials feel they have been successful in establishing a workable and effective way for identifying training and technical assistance needs by means of an integrated licensing, relicensing and compliance visits with the training and technical assistance process. A follow-up process is inherent in this procedure. Assessment of training and technical assistance is achieved by means of an evaluation filled out by T&TA recipient and T&TA provider after the training and technical assistance is given.

The O.C.D. director and assistant director regularly review the field staff's reports, technical assistance requests, and evaluations in order to gear their efforts as needed.

The state O.C.D. staff feels, however, that in order to provide adequate T&TA to all who need it, additional staff is needed, and additional training from regional SRS. Early childhood education was the area of greatest need.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Structure:

State - The fiscal function is performed by the Division of Administrative services within the Agency of Human Services. It provides fiscal support for all social services, including child care.

Local - There is no unit responsible for fiscal management at the local level. All local fiscal information is forwarded to the state fiscal unit for processing.

Function: The state fiscal unit functions primarily as a support unit, in close interaction with program staff. Fiscal staff provide program staff with financial statistics and review projected costs of new and/or revised programs.

Program personnel determine dollar allocations, fiscal personnel determine the availability of funds. The Secretary of the Agency of Human Services has overall authority in determining spending. The fiscal unit's major responsibility is processing claims for provider payments.

### 10-2 FISCAL MATERIALS

All materials other than Line Item Budget Formats and audit report forms are available and regularly used. They were developed by the social services unit or the Office of Child Development, in conjunction with the Administrative Services Division. All are rated good, except for contract forms, which were rated poor. Staff feel that contracts should be tailored more to individual providers in order to be more useful.

### 10-3 INCOME SOURCES

| Source | FY 74-75 | FY 75-76 |
|---|---|---|
| Title XX/IV-A | $1,985,563 | $2,268,821 |
| WIN | 232,236 | 219,055 |
| Total | $2,217,799 | $2,487,876 |

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| | FY 74-75 Expenditures |
|---|---|
| Purchase of service (contracted) | none |
| Vendor Payments | $2,217,799 |
| Direct Provision/Operation | none |
| Client Purchase, with social service funds | none |
| Client Purchase, with income maintenance funds | none |

*including WIN

Description of Funding Methods/Processes:

A. Purchase of Service: All child day care is purchased through direct vendor payments to providers including centers, family day care homes and group day care homes.

| | Agreements | | |
|---|---|---|---|
| Provider Type | Written? | Comprehensiveness | Expenditures |
| Centers | yes | Includes all required Title XX components | $1,447,791 |
| Family Day Care | yes | | 770,009 |
| In-home care | N/A | | unk. |

The same vendor payment agreement form is used for all types of day care facilities. It is an abbreviated contract formulated in accordance with general state guidelines.

No formal contract management organization exists. Vendor agreements are completed in the district office; a copy of the agreement is kept at the district level, another at the state fiscal unit, pre-audit office.

No sub-contracting takes place.

The quality control procedures used in paying provider invoices include:

1) Preprinted monthly invoices filled in by provider are checked against the specifications of the provider payment agreement, by staff in the state's pre-audit unit.

   The pre-audit unit also checks for correctness in filling out form.

2) A quality control staff member takes a random sample of 4 facilities serving FFP children every 2 months and contacts the FFP parents, asking them to keep a one month attendance record of their child. The provider's monthly bill is then checked against the record kept by the parent, discrepancies are noted. Gross, unexplained discrepancies between the records can result in the withdrawal of FFP children from the facility after appeal procedures have been established.

3) In the event of an overpayment to a provider, the amount is either voluntarily paid to the agency by the provider, or is subtracted from the next month's payment.

B. Direct Provision: none.

C. Client Purchase: none.

## 10-5 RATE ESTABLISHMENT

| Provider Type | RATES | | |
|---|---|---|---|
| | Basis | Average | Range |
| Centers | Originally, based on actual cost; now based on number of children to be served and budget limits | $.85/hour per child | none |
| Family Day Care Homes | Rates paid previously for ADC clients; converted to hourly rate | $.55/hour per child | none |
| In-home | Minimum wage | $2.30 per hour | none |

Day care providers pending licensing/approval are paid at a rate of $.40/hour.

In a cost analysis study of 8 sample centers, 6 of the 8 were found to spend more money per child-hour than the SRS rate paid.

## 10-6 IN-HOME CARE

No payment is made to any member of a household to care for children who live in the same household; or for anyone coming into the child's home to provide care. Only when a hardship exists can in-home care be authorized by the SRS commissioner. The rate is $2.30/hr., which corresponds to the minimum wage.

## 10-7 INCOME ELIGIBILTY AND PARENT FEES

Income eligibles are defined as earning less than 92% of the state's median income.

Day care is free to the 50% level of state median income. Day care fees then increase in increments of 5% of total cost, depending upon the percentage increases in earnings. A family of 4 would pay no fees up to a monthly income of $500, 50% of the fee at an income of $874, 75% at $907, and 90% at $920, after which they would become ineligible. The increase in fees is very rapid at the upper level of income eligibility.

## 1. OVERVIEW

### 1-1 ORGANIZATION

Administrative Model: State supervised-locally administered by public agencies located in both cities and counties (because in Virginia, a city is not considered part of a county but a totally separate and autonomous political and administrative unit). Several cities and counties do, however, combine services for efficiency and cost reduction.

Description of Administrative Structure: The Virginia Department of Welfare is the designated state services agency (free-standing). It is comprised of one program division and four administrative support divisions.

The Division of Social Services (DSS) supervises all state social service programs including day care. The DSS is comprised of three bureaus (Developmental Services, Child Protective Services , and Service Programs). The latter bureau is directly responsible for supervising the state's child day care program through a designated Day Care Specialist.

Overall fiscal management responsibility for all social services including child care is vested in the State Department of Welfare's Division of Administration, Bureau of Fiscal Management, which, with advisory input from program personnel, reviews and approves budget allocations developed by each autonomous local jurisdiction and its local service agency director.

Statewide there are seven regions, each with a centralized Department of Welfare office. Local social service agencies designated by the individual cities and counties are responsible for much of the day-to-day administration of their own child day care program. Local jurisdictions were, for Title XX planning purposes, included in one of the state's 44 geographic planning districts.

Day care workers in the local social services offices are responsible (among other things) for client eligibility determination. Licensing is performed by the State Department of Welfare, Division of Licensing staff located in each of the eight regions.

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The Virginia site visit was conducted in January, 1976. Interviews were held with state officials in Richmond and officials at the two local sites, Hampton and Alexandria.

## 1-2 RESOURCES ALLOCATED TO CHILD CARE (Title XX and/or IV-A)

| | Allocation of Funds | |
|---|---|---|
| | FY 74-75 (IV-A funds) | FY 75-76* (IVA & XX funds) |
| Total Social Services Allocation | UNK | $86,947,909 |
| Total Child Care Allocation | $7,394,058 | $12,194,408 |
| Percentage of Funds Allocated to Child Care | UNK | 14% |

*Projected to a twelve-month fiscal year from a nine-month program year.

The proportion of total social service staff time allocated to child day care is not available; the total number of FTE's involved in the supervision of the state's child day care program at the state level is approximately 5.5 FTE.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Providers | Number FFP Children | Expenditures | |
|---|---|---|---|---|
| | | | FY 74-75 | FY 75-76 |
| Public Centers | 4 | 2017 | Expenditures not broken down by provider type | Expenditures not broken down by provider type |
| Private Centers | 457 | | | |
| Family Day Care Homes | 2797 | 4315 | | |
| In-home Care | UNK | 6142 | | |
| TOTAL | 3258 | 12,474* | $8,445,844** | $12,194,408*** |

*Represents average figures for one month based on a six-month period for the first half of FY '75 (Source: Virginia Monthly Reporting System for ADC-WIN, ADC non-WIN, and CWS day care participants).

**Also includes child day care expenditures from WIN and CWS revenue sources.

***Based on a nine-month program year projected for the twelve-month fiscal year not including WIN and CWS child day care monies.

Virginia does not use the classification "group day care homes", because family day care homes may care for up to nine children. When the number exceeds nine, they must conform to center standard and are classified as such.

## 1-4 INFORMATION SYSTEM

Nature of Records:

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | Yes | Varies by locality | Local service agency |
| Standardized social service forms | Yes | Varies by locality | Local service agency |
| Computerized records | Yes - some local jurisdictions | Varies by locality | At nine local* jurisdictions |
| Income maintenance records | Yes | Varies by locality | Local service agency |

*Selected jurisdictions use computer systems at their discretion. No statewide computerization had as yet been instituted at the time of the site visit.

Extent of Data: Statewide computerization of data had not been established at the time of the site visit. In addition, data from narrative social service records and standardized social service forms is not aggregated on a statewide basis. At Alexandria, narrative social service case records have complete information in all areas except service delivery data and demographic data. The latter two components are each missing one information element (duration of service and client educational attainment, respectively). Standardized social service forms in Alexandria contain partial information on client identifiers (i.e., primary recipient identifiers only) and minimal information on client demographic descriptors (i.e., living arrangements, parental educational attainment and family size and composition). No information on the extent of data at Hampton is available.

Data Aggregation: There is no computer system yet at the state level. However, new forms are being prepared which will permit state data collection and aggregation on a computerized basis. The state fiscal unit does monthly manual aggregations of the number of children served and the type and cost of care by compiling data from submitted payment requests. Client data is aggregated at the local level by most jurisdictions. The two local sites visited do not aggregate data, however.

## 1-5 STATUTES

Other than state licensing regulations, only local health, sanitation and zoning ordinances impact the operation of child day care facilities.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

State interviewees identified the lack of adequate state manpower and periodic state freezes on hiring and funds as their chief programmatic problems. Local respondents felt that inadequate guidelines and assistance from the state had created unnecessary difficulties in program delivery. They also cited what they saw as a lack of state initiative in acquiring federal funds as a problem (i.e., unspent money from various social service programs is, they claimed, returned annually, thus minimizing the state's subsequent federal allocation).

State officials indicated that the autonomy of the local jurisdictions was both a programmatic strength and weakness. On the one hand, state officials felt that local performance was often very imaginative and innovative in the absence of rigid constraints from the state. On the other hand, they believed that the "weaker" jurisdictions suffer from the absence of strong state guidance under the locally-administered system.

## 2. NEEDS ASSESSMENT

No comprehensive statewide needs assessment was undertaken due to time constraints

Instead, a Department of Welfare Title XX task force composed of relevant program personnel within the Division of Social Services made limited projections from census data and CETA/MDTA data. Because of the limited time frame, the task force relied heavily on data and studies supplied by local agencies and on local plans and assessments developed by the 44 geographic planning districts. For instance, the Hampton Planning District submitted a two-year-old social services study done by a local coalition which detailed persons served, unmet social service needs, and services offered (including child day care). Some primary needs assessment information was solicited in open meetings held in each of the regions. However, the chief purpose of the meetings was to create a forum for the discussion of the proposed Title XX Plan rather than develop a systematic needs assessment.

State officials feel that with adequate time allowances they will develop a comprehensive, systematic needs assessment for subsequent program years.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

On-going Planning: There was no distinct social services planning unit prior to the state's involvement in the Title XX program. Planning was conducted by the various program supervisors as part of their day-to-day responsibilities.

Title XX Planning: It was performed by a task force management group comprised of the Directors from the Division of Social Services, the Commission for Visually Handicapped and members of the State Office of Planning and Community Affairs. This group then divided into 5 sub-committees (none of which was for day care). The Director of Social Services was co-chairperson.

### 3-2 PLANNING PROCESS

Each of the planning districts submitted their request for funds to the state, based upon their individual planning efforts. In almost every instance, the amount requested exceeded the funds available. Therefore, state planners were forced to trim local requests according to a state formula based on the relative population size of each planning district. WIN and IV-B child care planning were interfaced with Title XX + IV-A planning for the allocation of funds and for the development of their respective service definitions. Title XX planning permitted an expansion of child care services, because funds previously frozen by the Virginia State Legislature for FY '75 were released and were therefore available to facilitate program expansion. Thus, increases in the level of service were the result of the lift on state frozen funds rather than a highly systematic needs assessment. In addition, public meetings were held in each of the eight state regions following the draft of the Title XX Plan. 2500 people attended, 1300 people commented although no questionnaires were distributed.

## 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types & Numbers | Comparison with Prev. Yr. |
|---|---|---|---|---|
| Total # to be Served | Yes | Yes | 43,272 children (prelim. Plan) Approx 17,600 in final plan | more |
| Population Categories to be Served | Yes | Yes | AFDC-WIN, AFDC-non-WIN, SSI, Income eligibles, former CWS needing protection | more |
| Priority Population Categories | Yes | Yes (for each planning district only) | 1. AFDC-WIN + non-WIN<br>2. All other eligible groups | same |
| Service Provider Types | No | No | -- | -- |
| Special Provider Attributes (e.g., hours of service) | No | No | -- | -- |
| Geographic Areas | Yes | Yes | 44 geographic planning districts | more |
| Dollars Allocated for Service | Yes | Yes | $12,1[illegible]4,408 prorated for a 12-month fiscal year | 65% more |

Planned Organization Changes: A "permanent" Title XX Planning Group arose out of the year one process. Two departmental staff members are continually assigned to the group to facilitate the sharing of resources. They have already begun to supervise a 4000-person survey of social service needs (including child care). In addition, the group is developing a list of providers and agency people for referral.

## 3-4 UTILIZATION/IMPLEMENTATION

The increase in the child day care service population must be absorbed at the local level by service personnel and by providers who must administer a battery of forms to a greater number of clients. In Alexandria, for example, the local day care staff has curtailed provider training and technical assistance visits because the increased caseload has not been coupled with any increase in staff size.

## 4. EVALUATION

No child day care evaluations have been conducted

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

No statewide I & R program exists. Because Virginia operates under a locally-administered system, the method of providing information and referral is left to the discretion of the local jurisdiction. In Hampton, no I & R program has been developed while Alexandria has developed an I & R program for all social services including child day care. The program is implemented by a separate I & R intake worker and includes a special number for disseminating information and referral services by phone. In addition, all social service workers and voluntary agencies in Alexandria and Hampton act as sources of information and referral.

### 5-2 PROCESS

Assembling information: No one at the state level or in Hampton is assigned to assemble information. In Alexandria, a special I & R worker is responsible for assembling information.

All the following information (chart and subsequent text) pertains to Alexandria only:

| Provider Type | Systematized | Freq. of Up-dates | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hrs. | Cost | Avail. |
| Centers | Yes | monthly | Yes | Yes | Yes | Yes |
| Homes | Yes | monthly | Yes | Yes | Yes | Yes |
| In-home | Yes | monthly | Yes | Yes | Yes | Yes |

Disseminating Information: Clients applying for AFDC or already in the social service system are apprised of all services offered. The I & R desk has an information file for all social services including child care. Potential users are also informed by friends. There are no outreach activities undertaken. Posters and pamphlets are available but are not distributed throughout the community.

Assessing Client Need/Referral and Follow-up: After an initial screening by the I & R worker (by phone or in person), potential clients are assigned to a day care service worker who conducts the assessment (which is subject to approval by the day care supervisor and the Assistant Director of the local social services office). If the client is receiving AFDC, the income maintenance worker directs the client to a day care services worker for information and referral. The primary factors in making the assessment are the child's age, family composition, developmental level, hours care as needed, and the location, cost and availability of care.

After the worker provides the parent with a list of appropriate providers, the parent is allowed to make tentative selections and is encouraged to schedule an in-person meeting with the provider. In all cases, the worker accompanies the parent to the provider where all three sign a day care agreement if the parent approves of the placement. While there is no regularly scheduled follow-up, the client is encouraged to contact his/her service worker if problems arise.

## 5-3 RESULTS

Time period: one month

| | |
|---|---|
| Number clients seeking referral to all social services | 144* |
| Number clients seeking child care referral | UNK |
| Number actively assisted | 144 |
| Number securing their own services | UNK |
| Number unable to secure services | UNK |

*Includes clients requesting service information through the I & R phone service only.

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

Both the development of standardized application forms and the establishment of eligibility regulations are the responsibility of the State Division of Social Services. Day care workers in the local service offices are responsible for determining eligibility for services and for securing completed applications.

### 6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC--non-WIN
- AFDC--WIN
- SSI recipients
- CWS recipients or any child requiring day care as a protective service who meet income eligibility standards (see below).
- Income eligibles defined as anyone whose gross family income does not exceed 50% of the state median income ($574/month for a family of four), adjusted for family size. Deaf, blind, and developmentally disabled persons are subject to a 70% cut-off ($804/month for a family of four).

No additional qualifying conditions must be fulfilled.

Population priorities have been designated in the following order:

1. AFDC-WIN and AFDC non-WIN
2. All other eligible population categories.

Revisions Since the Passage of Title XX: Income eligibles were added as a new service group.

Materials to Ensure Uniform Interpretations: Uniform application forms developed by the State Division of Social Services ensure a uniform application process. While the State Division of Social Services has also developed a guidelines and procedures bulletin, local areas are free to write their own guidelines (so long as they meet or exceed state standards) and procedures. A revised procedures manual is currently being developed by the state.

### 6-3 PROCESS AND VOLUME

Applications: Standardized application forms are in use throughout the state and are secured by local social service workers.

The state does not aggregate the total number of annual applications for social services or child day care services. The total number of social service applications received in Hampton was 2795 in FY '75. 893 (32%) were for child day care services. Figures for Alexandria are not available.

Eligibility Determination and Verification: Eligibility for all clients is determined by the local day care services worker. If the client is a welfare recipient, he/she are usually referred to the day care services worker by their income maintenance worker and are asked to show a letter of entitlement to AFDC, present a Title XIX card or validate their status by reference to income maintenance files. Income eligibles must show proof of income through wage stubs, recent tax statements, or documentation through employer verification forms. Protective service clients must document the need for day care protective purposes by citing appropriate information in social worker reports and by validating income eligibility status in the aforementioned ways.

Clients may begin to receive services immediately after eligibility determination.

The time lapse between application completion and the determination of eligibility can be as much as 30 days in all localities.

Quality Control: Clients are responsible for reporting changes in income or status that might affect their eligibility. In addition, providers are urged to notify day care workers if possible cases of client ineligibility come to their attention. In general, a regular (the interval varies by locality) local office review of all client records is done by supervisorial staff to ensure the appropriateness of determinations.

Redetermination of Eligibility: Eligibility is re-determined every six months using the same process as the original determination of eligibility.

Appeals: Approximately 60 appeals were made statewide in FY '75. Appeals were not aggregated at either of the local sites.

## 6-4 PARENT FEES

No fees are charged. Services are provided without charge to those whose incomes fall below 50% of the state's median income ($574/month for a four-person family) and deaf blind and developmentally disabled persons at 70% of the median ($804/month for a four-person family).

## 7. LICENSING

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The State Division of Licensing (DOL), a centralized support unit within the Department of Welfare, is responsible for the development and enforcement of all day care licensing standards. In addition, Division of Licensing staff, located in the state's regional offices, are responsible for the actual licensing of all centers and family day care homes with four or more unrelated children, if at least one of them is a non-FFP client. Homes serving all FFP-eligible clients or three or less unrelated children (regardless of the FFP- or non-FFP client composition) are subject to approval by a local social service worker.

Local health, fire and zoning agencies usually participate in the licensing and approval process and are coordinated by the DOL licensing staff from the appropriate regional office or by a local social service worker, depending on the provider undergoing licensure.

Neither licensing, certification, or approval is required for in-home providers.

In addition, the state DOL is responsible for ensuring FIDCR certification for all centers and family day care homes serving a mixture of FFP eligibles and non-eligibles. Local social service workers are responsible for conducting FIDCR certification for homes serving only FFP-eligibles.

Staffing: Statewide there are approximately 21 DOL licensing workers engaged in day care licensing. They allocate approximately 90% of their time (18 FTE) to licensing child day care facilities (which by Virginia's definition includes periodic monitoring and the provision of training and technical assistance on a demand basis).

No statewide or local estimate of local day care worker time allocated for FIDCR certification or approval of homes is available.

All DOL licensing staff have the authority to recommend or deny licensure as well as the power to recommend license revocations. Licensing recommendations are subject to a perfunctory sign-off by the State DOL Commissioner. Revocations and denials are subject to a fair hearing process and final approval by the Regional Counsel.

The minimum educational background for DOL licensing staff is work toward a B.A. in child development or a related field.

### 7-2 STANDARDS

Standards Development Process: Standards were up-dated in 1968. Information concerning this process was not available from interviewees. Division of Social Services, Division of Licensing personnel, and a state day care advisory group are currently meeting to revise the standards by reviewing common compliance problems, other state standards, and FIDCR.

Content of Standards:

Staff:Child Ratios

| | Ages | Ratios | |
|---|---|---|---|
| Centers: | | | |
| | 0-2 years | 1:3 | |
| | 2 yrs. and older | 1:10 | |
| A minimum of two responsible adults must be present at all times regardless of the number of children under care. | | | |
| Group Day Care Homes: | | | |
| | N/A | | |
| Family Day Care Homes: | | | |
| | 0-2 years | 1:3 | The maximum allowable capacity is 10 children including the caretaker's own. |
| | 2 yrs. and older | 1:6 | |

The standards for centers and family day care homes also include:

- Facilty standards
- A health and sanitation component
- A nutrition component
- An education component

Comparison of Standards and FIDCR: Virginia's staff-child ratios for 0-2 year-olds in centers exceeds FIDCR standards. Otherwise none of the state's staff-child ratios exceed FIDCR specifications (however, the ratio for 6-14 year olds in centers coincides with FIDCR).

In addition, Virginia does not require providers to develop social services, staff training, parent involvement, administration or evaluation components. The state's health component does not require supervision by a qualified physician; instead, yearly child physical examinations are specified. However, the state square footage requirements for facilities are more stringent than those specified in FIDCR.

None of the FIDCR standards have been waived.

All centers and those homes serving a mixture of FFP children and non-FFP children are subject to a FIDCR certification process conducted by staff in the State DOL. Homes serving only FFP-eligibles are FIDCR certified by local social service workers.

Both state and local interviewees also stressed that FIDCR had substantially increased the capital outlays for qualified staff and facilities. State and local interviewees stated that the costs incurred by FIDCR for the size and quality of staff and for the adequacy of facilities were discouraging large numbers of potential providers from seeking licensure. Respondents also indicated that many providers were circumventing FIDCR by refusing to accept FFP children. This practice, they felt, penalized the child population with the greatest need for adequate day care.

## 7-3 SUMMARY OF LICENSING ACTIVITIES

| Service Type | License/Appr. Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total # | % Lic | % Disq** | Planned | Actual |
| Public Centers | License | 4 | 100% | unk. | annual | annual |
| Private Centers | License | 457 | 100% | unk. | annual | annual |
| FDCH's serving ineligibles with 4 or more unrelated children | License | 297 | 100% | unk. | annual | annual |
| FDCH's serving ineligibles only, with 3 or fewer unrelated children | None | unk. | N/A | N/A | N/A | N/A |
| FDCH's serving FFP eligibles only | Approval | 2,500 | unk. | unk. | annual | annual |
| FDCH's serving some FFP-eligibles, with 3 or fewer unrelated children | | | | | | |
| In-home | None | unk. | N/A | unk. | N/A | N/A |

**Data is not kept, but state and local officials believed that a substantial number of providers drop out before the formal application stage.

Approximately 87 (30%) of the family day care homes, and 245 (53%) of the centers had received FIDCR certification at the time of the site visit.

Fees for Licenses: No fees are charged.

Content of License: The license for all provider types includes:

- Date of issue
- Period for which valid
- Expiration date
- Maximum number of children to be served
- Hours of service
- Ages of children
- Category of license

## 7-4 LICENSING PROCESS

Areas of Investigation: Although family day care homes and centers are licensed by separate DOL licensing staff members, the substantive areas covered are the same:

- Physical characteristics are inspected
- The providers background is checked
- Educational and nutritional components are examined
- The health aspects of the site are explored
- The provision of physicals is checked
- The ability to handle handicapped children is evaluated

Extent and Nature of Process: There is a structured format for conducting licensing studies of all licensable facilities. Providers learn that they must be licensed by word of mouth, from parents and from newspaper announcements. Three to four visits by a DOL licensing worker are usually required to complete a licensing study for a family day care home. The first visit is simply to determine the provider's extent of readiness and current state of compliance. Two to three visits are usually required after this initial meeting. The time lapse between study initiation and licensure is from 4-6 weeks.

Between three and six visits are usually required for the DOL worker to complete a licensing study for a center. The time lapse between study initiation and licensure is, in general, 60 days. Delays are usually caused by problems with zoning permits and obtaining medical exams for staff and children.

Providers may not begin serving children until the license is issued. All licensed providers have undergone an initial licensing study. A provider visit by DOL staff 60 days before renewal is standard practice.

Conditional Licenses: A six-month provisional license is issued if the applicant seems to be making "a sincere effort to comply with requirements." Usual problems are caused by staff medicals and obtaining child medical certificates. Provisional licenses can be re-issued for up to two years at which point a new application must be made for full licensure.

Revocations: Until recently there was no formalized revocation process. The DOL licensing worker must recommend revocation. If so, a formal notice is sent to the provider and a hearing set before a public counsel. Hearing decisions can be appealed from the local/regional to the state counsel and ultimately to a public court. State respondents estimated that perhaps one or two revocations have occured since FY'75. Most of the cases involving possible revocations involve child abuse. In these cases, the provider will often go out of business voluntarily before revocation actions are taken.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

As part of their job duties, DOL licensing workers are responsible for monitoring centers and homes for licensing compliance. Local day care workers were responsible for monitoring local family day care homes subject to approval. Most localities throughout the state curtailed this practice when social service funds were frozen by the state legislature for FY '75. With the release of funds, this practice was reinstituted for FY '76 and is reflected in the chart below.

The total monitoring manpower allocated by the DOL is approximately 3 FTE annually. Respondents indicated that they did not consider this adequate manpower.

### 8-2 MONITORING ACTIVITES

| Provider Type | By whom monitored | % Monitored | Frequency | Av. Time Per Unit |
|---|---|---|---|---|
| centers | State Division of Licensing (Regional licensing workers) | 100% | quarterly | 2-6 hrs. per site |
| homes (licensed) | | 100% | quarterly | |
| homes (approved) | Local day care worker | 100% | semi-annually | |

### 8-3 PROCESS

Areas covered in DOL monitoring efforts include:

- Staff-child ratios
- Nutrition component
- Education component
- Adequacy of the physical facility

When providers are monitored, DOL licensing workers employ as a guide the same checklist used for licensing studies. No specific monitoring policies governing actual practices have been established by the state. Scheduled monitoring visits tend to be the dominant practice throughout the state, although some regions utilize unscheduled visits on occasion.

### 8-4 RESULTS

According to state and local officials, very few providers are out of compliance although it is estimated that many would lag in meeting staff-child ratio requirements if quarterly monitoring visits were not made. Providers operating under provisional licenses constitute the group with the greatest compliance difficulties.

Their compliance problems tend to be in the area of securing required medical exams for children and staff.

Follow-up by DOL staff is conducted on an as-needed basis. The extent and nature of follow-up depends on the complexity and severity of presumed or known provider compliance problems. When follow-up actions are taken, the DOL worker notifies the provider about the specific area of non-compliance and specifies a reasonable target date for achievement after consultation with the provider. This same procedure is followed by workers in the local districts.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State - No group or agency at the state level is currently responsible for providing training and technical assistance.

Local - DOL licensing workers operating out of the seven regions are responsible for providing training and technical assistance to (as well as monitoring and licensing) providers, both centers and homes. No FTE or budget allocation estimate is available, since training and technical assistance is provided as part of the DOL worker's overall job description and is not broken out as a separate activity.

In addition, some regions (i.e., the Northern Virginia Region of which Alexandria is a part) have training coordinators who are responsible for providing training and technical assistance to local staff and/or providers.

At the time of the site visit, most local geographic districts had no separate funds for training and technical assistance, and as a result had undertaken no major activities. However, since that time, most local districts have a 25% match to contribute toward Title XX training and technical assistance funds which should, according to state officals, facilitate training and technical assistance efforts. Local day care workers, as part of their regular duties in some jurisdictions, are responsible for distributing literature to assist providers.

Staff Background: All DOL licensing workers are required to have completed some college work toward a B.A. in child development or a related field.

## 9-2 ACTIVITIES

### Staff Development

| To whom | By whom | Description | Amt. |
|---|---|---|---|
| Local office of Social Services staff | Regional Training Coordinator (N. Vir. District) | Training in using new Title XX and state-mandated forms. | UNK |

### Provider Training and Assistance

| To whom | By whom | Description | Amt. |
|---|---|---|---|
| Centers<br>Homes | Regional DOL licensing workers | Handout literature on state and FIDCR licensing standards; as-needed on-site assistance to providers requiring licensing assistance. | on a sporadic basis |
| Centers | Regional Training Coordinator (N. Vir, District) | Workshops on early childhood development | UNK |
| Centers<br>Homes | Local day care workers (in some jurisductions) | Distribute training and technical assistance literature to assist providers | as-needed |

## 9-3 PROCESS

Identification of Need for T & T.A.: Where T & TA is given individually to providers, it arises from requests and/or deficiencies noted during licensing studies and follow-up monitoring visits.

Providers were identified as the single group with the greatest need for training and technical assistance. Their major needs tend to be in the development of useful program content and in meeting state/FIDCR licensing standards.

Site visits are the primary method used by all groups to deliver T & TA to providers while workshops are used for most staff development activities.

## 9-4 RESULTS

Respondents at the state and local sites felt that their success in meeting the T & TA needs of providers and service staff has been minimal because of a paucity of staff, time and funds. Staff in Alexandria mentioned that T & TA efforts provided by the Regional Training Coordinator have been complicated by the apparent unwillingness of many providers to attend workshops when available. No systematic follow-up of T & TA activities is undertaken by state, regional or local personnel.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

State - The Division of Administration, Bureau of Fiscal Management within the Department of Welfare functions as a centralized, departmental fiscal unit for all social services including child care. There is no separate fiscal unit for child care.

Local - There is no local unit responsible for fiscal management; however, local Welfare Department directors are responsible for clearing their proposed budgets with the local jurisdiction under Virginia's locally-administered system (because local jurisdictions actually pay providers out of local revenues with the state fiscal unit reimbursing them later).

Functions: In addition to providing statistical support, tracking expenditures, and reimbursing local jurisdictions for provider payments, state fiscal unit personnel, with advisory input from state program staff, review and approve budget allocations based upon past expenditures and proposed allocations from local jurisdictions. The latter are developed by the local directors who produce budget and program plans based on projections developed in conjunction with the local jurisdiction's fiscal personnel.

### 10-2 FISCAL MATERIALS

The development of fiscal materials is left to the discretion of the local jurisdictions; consequently there is no standardization of fiscal forms. However, state officials indicated that uniform fiscal materials will be developed by the end of the first program year.

### 10-3 INCOME SOURCES

| SOURCE | Amt./% FY 74-75 | Amt./% FY 75-76 |
|---|---|---|
| Title XX/IV-A | $7,394,058 (88%) | $12,194,408 |
| WIN | $ 947,669 (11%) | UNK |
| CWS | $ 104,117 (1%) | UNK |
| Other: | - 0 - | - 0 - |
| TOTAL | $8,445,844 | UNK |

The local matching share is a composite of state, county and city funds.

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | FY 74-75 Expenditures |
|---|---|
| Purchase of Service (contracted) | none |
| Vendor payments | UNK |
| Direct Provision/Operation | UNK* |
| Client Purchase, with social service funds | none |
| Client Purhcase, with income maintenance funds | none |
| TOTAL | $8,445,844 |

*No statewide figures are available. However, one directly-operated public day care center in Alexandria expended $69,523 in FY '75.

Description of Funding Methods/Processes:

A. Purchase of Service/Vendor Payments: At the time of the site visit, Virginia did not purchase services through a formal contract system with providers. Instead, a vendor payment system was used for all provider types in each locality. Essentially written agreements called "mini-contracts" were used to regulate the contractor-provider relationship. These had to be signed by the provider as a condition of reimbursement to the locality by the state. However, since the site visit, the state has established a more uniform purchase of service system in which standard purchase of service contracts containing all Title XX required elements are exclusively utilized.

No formal contract management organization existed at the time of the site visit. As of March 1976, however, a Purchase of Service Unit in the DSS was established to manage contracts statewide. No large scale sub-contracting is currently undertaken.

The quality control procedures used in paying provider invoices include:

- The state audits the local Title XX agencies and a random sample of local providers on an as-needed basis
- Local offices check provider/recipient eligibility with local records. Most do this by hand but a few counties have automated systems.

- When invoices are received at the state level, they are checked manually against a list of recipient case numbers. They are also checked against a "vendor information" sheet which indicates the appropriate reimbursement rate, whether a valid contract has been signed, and the status of provider facility standards. If one or more of these information elements conflict with information on the invoice, reimbursement is withheld until clarification. Local jurisdictions pay providers monthly (weekly in a few cases) and are reimbursed quarterly by the state.

- Because providers cannot justifiably bill for more services than contracted for, overpayments are rare. The procedures for dealing with an overpayment, when it does occur, vary extensively by locality but will be deducted from ensuring voucher payments under a uniform system to be adopted by the state in the future.

B. Direct Provision: One facility (a center) is directly operated in Alexandria. A line item budget is not used. Instead, the local social service director and local budget officer submit a projected budget for the center to the state which incorporates the figure into the total day care service expenditure. No control procedures ensuring that costs relate to service have been developed.

C. Client Purchase: None

10-5 RATE ESTABLISHMENT

Unit of Measurement: Per slot/child/week or hour

| Provider Type | Rates | | |
|---|---|---|---|
| | Basis | Average | Range |
| Private Centers | A uniform pricing system established by the Virginia Department of Welfare | $33 per week | $22-$48 per week |
| Public Centers | | | |
| Family Day Care Homes | Based on local budgetary allocations | 50¢/hr. per child; $20/week | $15-$75 per week |
| In-home | Prevailing community rate established by the Virginia Employment Commission | 50¢/hr.; $20/week | $15-$75 per week |

Maximum rate permitted: $195/month for emotionally disturbed children.

## 10-6 IN-HOME CARE

In Virginia, the 50¢/hr./child reimbursement rate results in less than the minimum wage being paid in nearly all cases. It is state policy to pay relatives, grandparents and blood relatives over 18 years of age. Those under 18 may be paid if they are siblings.

## 10-7 INCOME ELIGIBLES AND PARENT FEES

All income eligibles earning less than 50% of the state median income ($574/month for a family of four) and deaf, blind and developmentally-disabled persons earning less than 70% of the state median income ($804/month for a family of four) are eligible for free child day care services. Thus, no fees are collected. Those whose incomes exceed these levels must pay the full cost of care.

## 10-8 DONATIONS

Donations are handled by each individual jurisdiction. No totals are available statewide or for either local site.

# 1. OVERVIEW

## 1-1 ORGANIZATION

ADMINISTRATIVE MODEL: State Administered

DESCRIPTION OF ADMINISTRATIVE STRUCTURE: The umbrella agency, Department of Social and Health Services is designated Title XX agency.

Eight divisions - four have some responsibility for day care. They are:

> Division of Community Services, Bureau of Social Services, Office of Family, Children and Adult Services: Services to child care agencies unit, licensing and day care consultant services.
>
> Division of Planning and Research, Office of Program Analysis: Collection of data for reporting systems, does cost impact studies, estimates purchase costs and establishes vendor rates.
>
> Management and Budget Division: With information from Office of Program Analysis, estimates staff costs and combines with purchase of service costs and compiles final budget for approval by the Secretary.
>
> Division of Administrative Services: Accounting office makes payments to day care providers. Office of Purchase of Services does contract negotiations with providers.

There is a State Family and Children Services Advisory Committee that is appointed by the Secretary, which reviews all policies established by the Department and initiates some policies for Department consideration. There is a Day Care Sub-Committee that reviews day care policy except for licenses, which has a separate sub-committee for licensing of all facilities.

There are six Regional Offices of the Department of Social and Health Services which have units responsible for supervision of the local offices where services are delivered. The licensing, the casework services to day care recipients and the approval for payment are done in the Family and Children Services Unit; there is a plan for decentralization of funding and of center licensing staff to the Regional Offices. A seventh Geographic Area has been designated to cover five Indian Reservations for Day Care Services only.

Centers and group homes that are in facilities other than a residence occupied by a family (mini-centers) are licensed by staff based in the central office. Family Day Care Homes and group homes in family occupied residences are licensed by licensing staff in local offices.

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Washington's site visit was done in May 1976. Interviews were held with staff at the state office.

## 1-2 RESOURCES ALLOCATED TO CHILD CARE

| | Allocation of Funds | |
|---|---|---|
| | FY 74-75 | FY 75-76 |
| Total Social Services Allocation | 54,333,333 | 54,333,333 |
| Total Child Care Allocation | 6,680,280 | 8,077,129 |
| Percentage of Total Social Services Funds Allocated to Child Care | 12.3 | 14.9 |

### Total Social Services Resources

| | Fiscal Year 1975 | Fiscal Year 1976 |
|---|---|---|
| Title XX - State and Federal | 54,333,333 | 54,333,333 |
| Title IV-B - Federal | 711,088 | 819,124 |
| Title IV-C - State and Federal | 2,350,687 | 2,970,743 |
| Title IV-A | None | None |
| State Funds | 2,119,792 | 475,093 |
| State Funded Foster Care | 10,111,791 | 14,110,194 |
| Title X (Commerce) - Federal | Not available in FY'75 | 383,998 |
| Title XX (Training) - State and Federal | Not broken out for FY'75 | 1,033,000 |
| Total | 69,686,691 | 74,125,485 |

1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Providers* | Number FFP Children | Expenditures | |
|---|---|---|---|---|
| | | | FY 74-75 | FY 75-76 |
| Public Centers )<br>Private Centers ) | 3,619 | | No breakdown by provider type | |
| Group Day Care Homes )<br>Family Day Care Homes ) | 5,660 | | | |
| In-Home Care | 1,543 | | | |
| WIN ** | 1,288 | | | |
| Total | 12,110 | | 7,442,710 | 8,950,549 |

* Latest figures available were for October 1, 1975. Later figures will not be available until the States' Computerized System is in full operation. This is anticipated to be in June of 1976.

** No breakdown by type of facilities for WIN funded child care.

1-4 RECORDS

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | No | --- | --- |
| Standardized social service forms | Yes | Family | Local |
| Computerized records | Yes | Family | Local |
| Income maintenance records | Yes | Family | Local |

All information pertaining to client identifiers, providers, method, cost, hours and duration of services, demographic descriptors and eligibility are collected on standardized social service forms and are computerized for use at the local level. Goal data, service plan, family size and education level are also collected on standardized forms.

Individual client data is collected and maintained at the regional level with a copy going into the state for aggregation by computers. The computer system is being expanded to include all social service information. There is continuous update process of information.

## 1-5 STATUTES

In addition to the licensing statutes and administrative regulations which govern the operation of child care in the state, there is a Child Welfare Services Law which authorized the purchase of day care for child protective services.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS/HIGHLIGHTS

One of the problems being faced is how to develop a means of assuring equity of eligibility. Current eligibility requirements for social services favor grant recipients with the discrimination particularly visible in day care for children.

A good working relationship with the state network of community colleges that has made it possible to have much more training available to day care providers is in place.

There is a state Family Day Care Association with approximately 30 local organizations. This association has strengthened and improved the quality of care in family day care with a newsletter, meetings and conferences.

DSHS has provided extra staff to assist in providing day care to migrant families. They work closely with the Northwest Rural Opportunities whose bilingual staff serves migrant families. Washington is second only to Texas in the number of migrant families who home-base (have settled out).

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT:

No systematic needs assessment is done. Needs for day care were based on part and current experience.

A straight line projection was done with growth inflated by 7.4% for inflation. Census data was used to determine number of single heads of household employed at appropriate income level with pre-school age children to estimate child care needs. Historical program data was used. Program staff helped to develop parameters. They met with child care provider organizations and consumer groups. Title XX hearings were held in the six Regions. There was a statewide ad hoc day care committee that made recommendations.

Projects based on past and current usage were used in the planning process.

### 2-2 PROCESS

| Sources of Information | Extent Utilized | Strategy |
|---|---|---|
| Documentary Sources | Extensive | Based on past experience in Child Care, used a straight line projection for inflation of 7.4% for FY'76. Analyzed need for child care using census data (e.g., number of single parents employed with pre-schoolers, etc.). Use state historical program data. |
| In-house Agency Personnel | Extensive | All program staff participated in developing and recommending program parameters. |
| Community Agencies | Some | Meeting with local human resource agencies, local governments, and ethnic organizations (Migrant & Indian). |
| Service Providers | Some | Meetings with organized associations of child care providers. |
| Consumers | Some | Met with consumers on request. |
| General Public | Extensive | Statewide hearings in each of state's six regions. Met with statewide ad hoc day care committee representing general public. Meetings as requested, with interested groups. |

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION:

On-going Planning: The Office of Program Analysis in the Planning and Research Division develop and maintain statistical information with respect to ongoing program implementation. They do analysis of this information as requested by program staff for planning purposes.

Title XX Planning: For Title XX planning, a Planning Officer was added to the Office of Family, Children and Adult Services - approximately 10% of his time is devoted to day care planning. There is a Regional-based planning process which makes use of the statutory Regional Advisory Committees. These committees develop a Title XX plan for each Region that includes planning for day care within the limitations of Title XX funding. Washington has been at the ceiling for some time so the process is now largely one of determining the most equitable means of using the money.

### 3-2 PLANNING PROCESS

The Planning Officer at the state level has the responsibility for compiling a plan based on the recommendations of the Regional Advisory Committees, which goes through the system up to the Secretary for approval. The program staff then is responsible for development of appropriate program plans. There has been a day care study recently conducted under the direction of Community Services Division with staff from Program Analysis, Budget Analysis and Management to develop state policy for day care. This study will be reviewed by an ad hoc committee of private citizens for their advice and recommendations. The Planning Officer is responsible for interfacing WIN plans and IV-B plans into the Title XX plan.

Title XX stimulated the state to make some organizational changes that will decentralize the budget allocation to each Region as well as the personnel office, accounting office. The state licensing staff will also be located in the Regional Offices.

## 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types & Numbers | Comparison |
|---|---|---|---|---|
| Total # to be served | Yes | Yes | AFDC 9,791<br>Income Eligible 3,151 | Increase |
| Population Categories to be Served | Yes | Yes | AFDC<br>Income Eligibles | Increase |
| Priority Population Categories | Yes | Yes | Single head of household receiving training or employed and child protective service. | Same |
| Service Provider Types | Yes | Yes | Centers, groups, FDCH's and in-home. | Same |
| Special Provider Attributes (e.g., hours of service) | Yes | Yes | Drop-in facilities, short term care for migrants, satellites. | Same |
| Geographic Areas | Yes | Yes | Child care provided in all six regions of state. In addition, the state has established a 7th region composed of five Indian Reservations. | Increase |
| Dollars Allocated for Child Care Service | Yes | Yes | $8,077,129 | Increase |

## 4. EVALUATION

The only evaluation of the day care delivery system in Washington was done by UNCO, Inc., under contract to the Regional Office of HEW. This study was concerned with the quality of federally supported day care in all four states of Region X. It resulted in the establishment of a joint State/Regional partnership to evaluate the level of the States' compliance with the FIDCR's. A Monitoring Guide has been developed and self-evaluation instruments designed to measure state administrative compliance with the FIDCR's. The administrative self-evaluation is now in process and the provider self-evaluation instruments are being field tested. Washington, as other states in Region X, has participated continually in this effort.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING INFORMATION AND REFERRAL SERVICES

There is no formalized statewide Information and Referral subsystem in Washington. Region IV has a day care referral service that is a part of the Centralized Support Unit in the Regional Office. They provide by phone the name, address and phone number of 3 or 4 facilities near where the person needing care lives. They provide information on type of care, ages of children and licensed capacity, and send to each inquirer a consumer guide for choosing care. They attempt to maintain current listings but are dependent on the caregivers to keep them up to date.

The state maintains a directory of licensed day care centers by county that is up-dated monthly and is available upon request. This directory includes name and address and phone number of the facility, fee schedule, licensed capacity, ages of children to be served, cost of care, hours service is offered.

In the local offices, day care services are listed in a brochure made available to AFDC applicants and referral is made by social service workers as clients express an interest or need for day care. Client caseworkers work with the parent who selects the care facility most suited to her needs. All child care arrangements have a six month follow-up review, which is done by the caseworker, who also assists a parent at any time there is need for a change.

### 5-2 PROCESS

| Provider Type | Systematized | Freq. of Updates | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hrs | Cost | Avail |
| Centers | Yes | Monthly | X | X | X | Worker Check |
| Homes | No * | | | | | |
| In-home | No * | | | | | |

* Responsibility of local staff, but no formal system.

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

The state program staff, with input from program analysis staff and Title XX planning staff, establish policies and eligibility regulations. Family/Day Care Advisory Committee reviews all policies set by staff. Eligibility determination is done by the social service worker at the time of application when the client provides documentation of his income. The one exception is the Migrant Organization (Northwest Rural Opportunities, Inc.) which has a contract with the Department for providing services. They do the eligibility determination for their clients.

### 6-2 POLICY PROVISIONS

Eligible Population Categories

AFDC
AFDC - WIN
CWS - Child Protective Services

Free care for families earning up to 32% of the state median income.

Free care to migrant families earning up to 35% of the state median income, and for Indians on the five reservations earning up to 80% of the state median income.

Effective July 1, all families except the Indian families earning up to 35% of the state median income will receive free care.

There is no sliding fee scale.

Clients must be employed or in an approved training program to receive care or they must be approved by a Child Protective Service worker as needing care.

Population priorities have been designated:

1. AFDC - WIN
2. AFDC
3. Title IV-B recipients needing protective services
4. Individuals whose gross income is equal to or below the AFDC grant standard.

| Family Size | Gross Monthly Income |
|---|---|
| 2 | $260 |
| 3 | $315 |
| 4 | $370 |
| 5 | $425 |
| 6 | $480 |

Revisions since the passage of Title XX

Former and potential AFDC clients were served under Title IV-A. This included AFDC recipients who were single parent families, two parent families in which one or both parents are physically, mentally and/or emotionally disabled and two parent families in which both parents are gainfully employed or in which one parent is gainfully employed and one is in an approved training program.

At that time, funding was made possible by local match which was directed to geographical areas. The practice of accepting local match was discontinued when the lid was imposed and the possibility of increased federal funding was eliminated.

## 6-3 PROCESS AND VOLUME

Applications: Standardized application forms are used statewide. Local socail service workers are responsible for securing completed applications. Clients are required to furnish verification of income. There is a 1 to 10 day time lapse between completion of the application and the receiving of services.

Quality Control: Operations Review does some spot checking to monitor eligibility. Clients are responsible for reporting changes of income status that might affect eligibility.

Redetermination of Eligibility: Eligibility is redetermined every six months.

Appeals: Appeal rights are stated on every termination letter. There were an average of five appeals a month from October to April. There is no information on the resolution of those appeals.

Parent Fees: There are no parent fees.

## 7. LICENSING

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Services to Child Care Agencies Unit in the Office of Family, Children and Adult Services in the Bureau of Social Services in the Division of Community Services of the Department of Social and Health Services has the responsibility for the issuance of licenses to centers and mini-centers that are in a residence not occupied by a family.

The local office has the responsibility for licensing family day care homes and mini-centers that are in a residence occupied by a family. They are responsible for the approval of all in-home care and for the standards that pertain to this care. For WIN clients, the WIN service worker refers the client for day care and only finalizes the WIN assignment when an appropriate child care plan has been made.

Staffing: There are seven licensing staff for centers and mini-centers and 63 for family day care homes.

Authority for licensing revocations and denials is in the licensing law: Revised Code of Washington, 74-15. Revocation, denial or non-renewal: Agency is notified by certified letter with reasons and procedure for requesting a hearing with 30 days to respond. Must respond and hearing must be held not less than 35 days of date of request before Hearing Examiner, who rules. Can be taken to court. Licensing personnel in local offices must have a B.A. degree; no experience necessary. Licensing personnel in the State Office must have a M.A. in Social Work, early childhood development or related field, and 3 years of experience in day care or related field.

### 7-2 STANDARDS

Standards Development Process: Current standards were updated in 1974 (they are renewed every two years) by the state licensing staff with the Family and Children's Services Advisory Committee Sub-Committee on Licensing. After public hearings were held across the state, they are reviewed by the Attorney General for compliance with the law, filed in the Administrative Regulations Office for 30 days and then published as part of the Washington Administrative Code. The State Fire Marshall and the Health Department also participate in drafting the formulation of the state standards.

Staff/Child Ratios: See chart on following page.

Staff:Child Ratios:

Centers:

| Ages | Ratios |
|---|---|
| 1 month through 11 months | 1 - 5 |
| 12 months through 29 months | 1 - 7 |
| 30 months to 12 years | 1 - 10 |

Family Day Care Homes: 0 - 12

1 - 6: Full Day (no more than two children under two years).
1 - 10: If less than 3 years, but must have assistant if more than eight children or if any child is under 2½ years.

Group Day Care Homes: 0 - 12

1 - 10: If all children are over 2½ years of age.
1 - 5: If any child is under 2½ years.
2 - 12: Regardless of age.

Components covered in the licensing of centers include:

Groups to be Served
Facilities
Safety
Educational Services
Health
Nutrition
Staff Training
Parent Involvement
Monitoring
Administration
Confidentiality
Discipline.

Family Day Care Homes and Mini-Centers (Group Homes) include the same except:

Social Services
Staff Training
Parent Involvement.

Comparison of Standards with FIDCR: See attached form by Robert Hart.

There is no certification process for FIDCR. An estimated 30% of centers might be willing to comply with FIDCR. The vast majority have indicated they would not even though there were an increase in funds to increase vendor payment, because private placements would be shut out. They would choose not to be a part of the state system.

7-3 SUMMARY OF LICENSING ACTIVITIES

| Service Type | Lic./Appr. Required* | Providers Total # | Providers % Lic. | Providers %Disq. | Renewal Frequency Planned | Renewal Frequency Actual |
|---|---|---|---|---|---|---|
| Public Centers | Yes | 395 | 100 | Not Avail. | 2 years | 2 years |
| Private Centers | Yes | | | | 2 years | 2 years |
| Group Day Care Homes | Yes | | | | 2 years | 2 years |
| Family Day Care Homes | Yes | 7,580 | 100 | Not Avail. | 2 years | 2 years |
| In-Home | No | | | | None | None |

*Provisional licenses may be issued for a period not to exceed six months, and may be reviewed for additional periods not to exceed a total of two years, for both day care centers and group homes. Purpose is to permit a facility to up-grade to fully meet state standards.

Fire approval must be given prior to any license, including provisional

Fees for Licenses: No fees are charged.

Content of Licenses:

- Person or Facility Name
- Location
- Date of Issuance
- Period for which Valid
- Maximum Number of Children to be Served
- Sex and Age-Range of Children.

## 7-4 LICENSING PROCESS

Areas of Investigation:

Physical Environment
Health Factors
Applicant Characteristics
Plan for Activities - Routine of the Day
Discipline
Meals/Snacks
Assistant/Substitute Plan
Emergencies
Record Keeping and Business Practices
Evaluation Plan.

Extent and Nature of Process: For Centers, Mini-Centers and Family Day Care Homes, a structured format is used. Homes are made aware of the need to be licensed by word of mouth, and by news media. FDC homes and mini-centers that are in a home that is used as a residence are visited for a preliminary review and at least one for final selection. More visits are made if necessary, with an average of three. It is a local option of the Fire Inspector and the Health Department if they must have fire and health inspections. In rural areas where the water is supplied by a well, the water must be tested. The total process usually takes 90 days. Centers and Mini-Centers that are housed in a building not used as a residence are visited at least twice by the licensing worker and must be approved by the Fire Department and the Health Department. If everything is in order, a license can be issued within 30 days. Licenses are issued for a two year period.

Conditional Licenses: Provisional licenses are issued for six month periods, renewable for a period not to exceed two years.

Revocations: There have been approximately twenty-five license revocation actions involving family day care homes in the past year. Figures were not available to indicate how many of these resulted in actual revocation of the license, i.e., were up-held by the Fair Hearing Officer.

For both Family Day Care Homes and Centers the process for revocation of licenses is as follows: When a facility is found to be out of compliance, a certified letter is sent to the facility sighting the requirements not being met and giving the caregiver 30 days to respond with a request for a fair hearing.

Upon receipt of such a request, a date is set for a hearing to be scheduled in not less than 35 days, before the Fair Hearings Officer. If revocation action is upheld by the Fair Hearings Officer, the caregiver may appeal in the courts.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFECT

Monitoring of day care programs is done by licensing staff to assure compliance with state licensing requirements and FIDCR. Procedures call for family day care homes and mini-center in an occupied family residence to be visited every 120 days. The standard licensing form is used for the review and consultation is given as needed.

Centers and mini-centers in an unoccupied family residence are visited by state licensing staff twice a year for a license review and consultation as needed.

The Operations Review Team of the Management Division has the responsibility for conducting monitoring reviews of all department programs on a sampling basis that includes day care providers. They are also available to monitor day care programs if problems arise and requests are made by program staff.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION

Staff development for local staff on agency policies and procedures governing care of children and licensing of facilities is done by the State Child Care and Licensing Staff.

Providing Training and Technical Assistance:

Training for providers is coordinated by state staff using local resources to cover nutrition, discipline, child development and care of children.

Technical assistance is provided by state and local staff as needed by providers in various aspects of licensing needs and program development.

426 funds were used to develop a curriculum for training family day care mothers and foster parents that is being conducted by 11 community colleges.

### 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Local staff (Child Care and Licensing) | State child care and licensing staff | Agency policies and procedures governing care of children and licensing of home. | Little |

Provider Training and Assistance

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Centers,<br>Groups,<br>FDCH's | Training - State staff coordinates using local resources including Community Colleges. | Workshops on nutrition discipline, child development classroom activities and general care of children. | Some |
| | TA - State staff for centers; state and local for groups and FDCH's. | Compliance with state licensing and program development by site visits. | Some |

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Fiscal management is performed by the Office of Accounting Services in the Administrative Services Division. Cost allocations are their responsibility, as are federal billing, and vendor payments.

Local: There is no unit responsible for fiscal management at the local level. All fiscal responsibility rests with the state offices.

Function: The Office of Program Analysis determines actual program expenditures with input from program personnel and projects costs of new or revised programs. The function of accounting for funds, completing federal claims and making vendoe payments is done by the Office of Accounting Services.

### 10-2 FISCAL MATERIALS

All fiscal materials, except for line item budget formats and audit report forms have been developed by the Office of Program Analysis with input from program staff. The Office of Accounting Services is responsible for budgeting and auditing materials. The accounting forms are being changed so that the information can be computerized.

### 10-3 INCOME SOURCES

| Source | FY 74-75 | FY 75-76 |
|---|---|---|
| Title XX/IV-A | 6,680,280 | 8,077,129 * |
| WIN | 769,760 | 873,420 |
| CWS | -0- | -0- |
| Other | -0- | -0- |
| Total | 7,450,040 | 8,950,549 |

* Includes purchase and staff.

Overpayment is avoided by the accounting office monitoring against the contract. Contracts are negotiated and approved by the Office of Purchase of Services. They also review to assure that the payment schedule corresponds with the contract agreement.

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | FY 74-75 Expenditures |
|---|---|
| Purchase of Service (contracted) | Breakdown not available |
| Vendor Payments | |
| Direct Provision/Operation | |
| Client Purchase, with social service funds | |
| Client Purchase, with income maintenance funds | |
| TOTAL | 7,442,710 |

Description of funding method/processes:

a. Purchase of Service: All child care services are purchased. expenditures by provider type for FY 74-75 are as follows:

Contracts were written to include Title XX components for both Center and Day Care Home.

Contracts are managed by the Office of Purchase of Services.

Quality Control procedure: Provider request for payment goes to local office with a copy of attendance record.

With local office approval, the invoice is sent to the state where it is checked against the contract (for centers) and ok'd for payment. For family day care homes and in-home care, the check is made against the award letter and goes to state for payment.

b. Direct Provision: None

c. Client Purchase: None

## 10-5 RATE ESTABLISHMENT

Unit of Measurement:

| Provider Type | Rates | | |
|---|---|---|---|
| | Basis | Average | Range |
| Centers | Set by vendor rate committee. Rates are agreed upon with vendors and are not based on cost data. | Not Available. | Up to $5.70 per day*, $.81 per hour, $285 per month per family maximum |
| Family Day Care Homes | | Not Available. | Up to $5.70 per day*, first child $.81 per hour, $285 per month per family maximum. |
| In-home | | Not Available. | Up to $.81 per hour, 1-3 children. $1.07 per hour, 4 or more. No more than 9 hours per day. $285 per month per family maximum. |

* Seven hours or more.

Rates are determined by the amount normally charged by a facility to the public ar large, with a maximum rate of $.81 per hour, $5.70 per day and $285.00 per month per family, for centers, mini-centers and family day care homes.

## 10-6 IN-HOME CARE

$.81 per hour for 1 to 3 children; $1.07 per hour for 4 or more children.

## 10-7 INCOME ELIGIBLE AND PARENT FEES

AFDC recipients or people at or below the AFDC level earning 32% of the state's median income receive free care. Migrants earning 35% of median income receive free care. Residence of designated Indian Reservations receive free care at or below the 80% level of the state's median income.

There are no fees collected.

### 10-8 DONATIONS

There are no donations.

# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The Department of Welfare is the designated Title XX agency. It is a separate (free-standing) agency, headed by a Commissioner who is directly responsible to the Governor. Within the Department of Welfare, there are two major divisions, Administration and Operations, each headed by a Deputy Commissioner. Under the Deputy Commissioner of Operations are several Assistant Commissioners. Of these, the Assistant Commissioner for Social Services has responsibility for the State Day Care Office, as well as the administration of other social services.

With the exception of fiscal management, all aspects of child day care administration are the responsibility of the State Day Care Office, including: setting standards and developing day care policy, licensing centers, monitoring and evaluating area day care staff, providing training and technical assistance, and administering the day care enrichment program, including the para-professional training program.

Fiscal management is the responsibility of the Division of Audits and Accounts, under the Deputy Commissioner of Administration.

There are 27 area offices, headed by Area Office Administrators. Within each area office, there is a Coordinator of Social Services, with responsibility for all client services, including day care. Under the coordinator of social serivces is a day care unit, comprised of a day care supervisor and one or more day care specialists.

Area day care specialists are responsible for all processing of day care clients (information and referral, eligibility determination and redetermination and record keeping) and for approving and monitoring home-based providers and processing payments for all providers (family day care homes and in-home caretakers).

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The West Virginia site visit was conducted in January 1976. Interviews were conducted with state personnel and in the Area 25 office in Beckley, Raleigh Co. Altogether 10 W. Virginia staff members and a representative of SRS-Reg III participated in the site visit.

## 1-2 RESOURCES ALLOCATED TO CHILD CARE

| | Expenditures FY 74-75 | Allocations FY 75-76 |
|---|---|---|
| Total Social Services Funds (Titles IV-A/XX) | $20,288,232 | $29,693,300 |
| Total Child Care Funds (Titles IV-A/XX) | 3,700,666 | 7,221,872 |
| Percentage of Total Social Services Funds Allocated to Child Care | 18% | 24% |

Totals for FY 75-76 were projected to a 12 month period based on the 9 month figures contained in the Title XX plan (exclusive of Donated, CETA and Certified Public expenditures).

Of the total child day care funds allocated for FY 75-76, nearly a million dollars is specifically budgeted for day care services for mentally retarded and emotionally disturbed children.

The total number of all social service staff is 880. The number of staff members directly assigned to day care includes: a director, two full time state licensing workers, three full-time state enrichment workers, one monitoring and evaluation specialist, one policy specialist, 65 full-time and five part-time Area Day Care Specialists. A third full-time licensing specialist was added subsequent to the site visit, bringing the total number of full-time equivalents (FTE's) engaged in child care management to 77 (or about 9%).

Child care is a priority service in the state of West Virginia, having a higher dollar allocation than any other single social service.

## 1-3 VOLUME OF CHILD DAY CARE SERVICES

| Provider Type | Number Sanctioned* Providers | Number FFP Children | Actual Expenditures FY 74-75 | Anticipated Expenditures FY 75-76 |
|---|---|---|---|---|
| Centers | 93 | 697 | $585,523 | $677,076 |
| Group Day Care Homes | There are no providers designated as Group Day Care Homes since all programs serving seven or more children are considered to be centers. | | | |
| Family Day Care Homes | 1,920 | 2,944 | $1,404,263<br>Family Day Care<br>$894,264<br>Relative Family Day Care | $1,740,480<br>$1,097,928 |
| In-home care (relatives only) | 673 | 1,460 | 816,616 | 837,156 |
| TOTAL | 2,686 | 5,101 | $3,700,666 | $4,352,640** |

*Includes all licensed, approved or otherwise sanctioned. Total of direct fees to be paid to providers.

**The discrepancy between this figure and the total child day care allocation is attributable to the cost of child care administration (including personnel) a technical assistance contract, equipment, and related expenses.

58% of all FFP children are served in Family Day Care Homes (and nearly 40% of the Family Day Care Homes are relative's homes). There is one satellite home system, operated by the Interagency Council for Child Development Services, in the central part of the state, Region 4 of the Governor's Interagency Council.

In-home care is all relative care, because of the minimum wage requirements for non-relatives providing home care.

Altogether, approximately half of the FFP children in West Virginia are being cared for by relatives, either in the child's or the relative's home.

## 1-4 INFORMATION SYSTEM

Nature of Records:

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | Yes | Family | Local |
| Standardized social service forms | Yes | Family | Local |
| Computerized records | Yes | Family (FI)<br>Indiv. (II) | State |

Extent of Data: The Family Information (FI) and Individual Information (II) forms, which are used as input documents into the state's computer system, contain identifiers and partial demographic and service information, but there is not information on goal, goal achievement of service cost. Complete data in all areas is prepared and maintained at the local level.

Data Aggregation: FI and II forms are prepared at the local level, updated every six months and sent to the State Social Services Divisions; the forms are then forwarded to the computer division where the information is computerized and compiled; a "turnaround card" is then sent back to the area office.

A more comprehensive computerized reporting system is being developed for use in the near future.

## 1-5 STATUTES

Chapter 49 of the Public Welfare code of West Virginia is the statute governing licensing. It outlines the procedures for establishing standards as well as the Department of Welfare's responsibilities with regard to licensing child welfare agencies (day care centers). Specifically, it designates a Board, chaired by the Welfare Commissioner, as the body responsible for issuing or denying a license to operate.

One city, Huntington, has a zoning ordinance which refers to day care centers.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

The major problems identified were:

- --The very low rates available for reimbursement to providers (e.g. from a low of $3 a day to a high of $5.25/day for centers)
- --Inability of many federally-funded centers to meet the staff:child ratios specified in FIDCR. The state may have to discontinue use of these centers (pending Congressional action) due to a lack of necessary funds. This problem does not arise in relation to family-based and in-home care, since these services do meet the federal (FIDCR) staff:child ratios.
- --Problems in enforcing licensing standards, due to the failure of the state attorney general to take action on providers who are seriously out of compliance.
- --Difficulty in providing training and technical assistance to the geographically disbursed Family Day Care Home providers.

Major strengths identified were:

- --The development of licensing and enrichment standards. The latter is part of a system for assessing the level of care (on the basis of progressively more rigorous standards, identified as Phases I, II and III) (see licensing and monitoring sections) and paying differential rates to providers, based on the Phase (or level) which they achieve.
- --The development of family day care homes. This is approached in a somewhat unique fashion since approximately 90% of clients locate their own providers (either a licensed center or an approved or unapproved home-based provider). In these situations where an unapproved provider has been selected, the worker initiates an approval process to bring the selected provider into the system. While some providers seek approval on their own, it is difficult to use these self-selected providers because of the transportation and accessibility problems which derive from the rural nature of the state.
- --The paraprofessional training program, being developed under a $1.2 million DHEW research and demonstrations grant, which is currently being piloted in four areas. This program is designed to recruit AFDC mothers to serve as trainer/advisors to instruct/aid family and in-home day care providers. Several respondents reported that, when this program is implemented statewide, it will greatly enhance the quality of home-based care.

## 2. NEEDS ASSESSMENT

### 2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Assistant Commissioner and the five Assistant Directors for Social Services shared responsibility for conducting a limited needs assessment study in relation to all social services, including day care.

Staffing: Two person months were expended over a period of three calendar months.

### 2-2 PROCESS

Scope: The Title XX Needs Assessment focused on services availability, utilizing the knowledge of Area personnel about provider availability and waiting lists in their areas: information on needs was also requested from community leaders and providers but no direct information about unmet needs was secured from current or potential consumers. A prior assessment of the day care needs of indigent children (performed by FLC, Inc., in 1973) provided additional, important information.

| Source of Information | Extent Utilized | Strategy |
|---|---|---|
| Documentary Sources | Utilized to some extent | A review of prior reports and studies, including a special study performed in 1973 to assess the day care needs of the state's indigent children |
| Agency Personnel | Extensively utilized | Personnel in the 27 area offices were asked to inventory provider information and to identify needs in their geographic areas |
| Community Agency | Extensively utilized | A mail survey of key informants, including state officials, the Dept of Health, college personnel and other agency representatives was undertaken. Approx. 160 responses were received. |
| Service Providers | Utilized to some extent | Providers were included in the mail survey described above. |
| Consumers | Not utilized | -- |
| General Public | Not utilized | -- |

While time constraints limited the comprehensiveness of the Title XX Needs Assessment, it was felt that the information secured was accurate and useful. In addition, the findings of the comprehensive study of day care needs, conducted in 1973, were of considerable value in guiding the program planning effort.

2-3 RESULTS/UTILIZATION

Specific numerical results were generated in relation to:

--Objectives (primarily self-support for parents and self sufficiency for retarded or emotionally disturbed children)

--Geographic areas

--Types of Service (Family based care was identified as the primary service to be provided, primarily because of the rural nature of most of the state)

Degree of Integration into the Planning Process: Information secured through the needs assessment process was considered in the course of planning; those needs which were identified are addressed in the plan.

Unmet Needs: Remaining unmet needs, from a consumer standpoint were not identified.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION AND LEVEL OF EFFORT

*On-going Planning*: It was pointed out that child day care planning and policy development have always been important functions of the Social Services Division, "even before planning was popular."

*Title XX Planning*: Overall responsibility for Title XX Planning was assigned to the Assistant Commissioner of Social Services. The State Day Care Director and other key social services personnel were directly involved in the planning process.

### 3-2 PLANNING PROCESS

The Title XX plan was developed primarily through in-house meetings of state level social services personnel, based on input secured through the mail survey and public hearings which were held throughout the state. The Title XX planning effort was coordinated with WIN planning, and funds from this source will be used to provide day care for eligible children.

### 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types and Numbers | Comparison |
|---|---|---|---|---|
| Total number to be served | yes | yes | 7,567 children (including 477 mentally retarded and emotionally disturbed) | 48% increase |
| Population categories to be served | yes | yes | AFDC, SSI, Medicaid, Income Eligible (plan shows dollars, not numbers, by population category) | *Same |
| Priority Population Categories | no | no | -- | -- |
| Service Provider Types | yes | no | Emphasis on home care, especially in rural areas | -- |
| Special Provider Attributes (eg. hrs. of service) | yes | no | Facilities for handicapped are specifically identified | |
| Geographic Areas | yes | yes | Explicit number and dollars shown for each of 27 areas | |
| Dollars Allocated to Child Care | yes | yes | $7,221,872 (including day care for mentally retarded and emotionally disturbed) | Increase |

* Since the state has always served former and potential recipients, the new income eligible category represents a substitution rather than an addition.

Planned Organizational Changes: A full-time planning coordinator with major responsibility for the coordination of next year's planning effort was employed in October, 1975.

## 3-4 UTILIZATION/IMPLEMENTATION

As a result of public hearings pertaining to the Title XX plan, the need for infant care on school premises (to care for the children of school-aged mothers) was identified. Money was allocated for this purpose in two geographic areas, but no proposals from providers wishing to provide this service were received.

## 4. EVALUATION

### 4-1 ORGANIZATION

West Virginia is currently operating a special demonstration program (utilizing 1115 research and demonstration funds from SRS, DHEW) to improve the quality of home-based care through the provision of extensive training to the providers of such care in four pilot areas. Several in-depth evaluations of this paraprofessional training program are currently in progress.

### 4-2 ACTIVITIES AND PROCESS

An internal evaluation of the training program is being conducted by the two groups which together designed and implemented the program: The Family Learning Centers (FLC) of Atlanta, Georgia and State Day Care Office. This evaluation effort is directed toward assessing the degree to which the para-professional training project has met its outcome-oriented objectives. It is based upon extensive observation of day care providers and their interactions with the children and on a number of self-report forms to be completed by day care staff and providers.

A second, external evaluation of the para-professional training program is being performed by a consulting firm. This evaluation will focus on the overall success of the project in relation to its impact on the use of day care and the reasonableness of cost. A comprehensive evaluation plan encompassing goals, criteria, data requirements, data sources and analytic approach has been designed and is currently being implemented.

### 4-3 RESULTS

Since the evaluation studies are currently in progress, no findings are yet available. A number of instruments have, however, already been developed which may be of interest to other states. One caution which was cited by respondents was the heavy demand placed upon staff and providers in completing the large number of forms which are required by the study; i.e., altogether, there are over 50 forms and state personnel indicated that this will be changed when the program is implemented statewide.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

Area Day Care Specialists have responsibility for client intake into the day care service system (including eligibility determination), for approving providers, and for making referral to providers when no pre-selection has been made.

Since more than 70% of all clients secure their own providers before making application for child day care service, the emphasis is on client intake and approving pre-selected providers rather than on securing and disseminating information on approved providers or on making referrals to them.

Approximately 50% of all clients have their first contact with social workers in other Departments, particularly SAU-WIN staff and Income Maintenance eligibility workers (since about half of the FFP eligibles are AFDC or WIN mothers). When a child care need is identified, the workers in these other departments refer their clients to the Area Day Care Specialists. Self-initiated clients go directly to the Area Day Care Specialists.

### 5-2 PROCESS

Assembling Information: Information on providers is maintained in the area offices.

When a home-based provider is approved, a file is prepared containing an application, an evaluation form and a signed contract and this file serves as the reference point in the few situations where a client has not selected his/her own provider. Changes in information pertaining to home-based providers are made as they are received.

Information on center providers is up-dated quarterly and each area office has a list of the licensed centers in that area.

Disseminating Information: As noted, about half of the clients who are in need of child day care services are identified and referred to the Day Care Specialist by their eligibility workers. Word of mouth is another major means by which clients become aware of available services. In addition, a number of public-relation outreach activities are undertaken, including television, radio and newpaper announcements.

Assessing Client Need/Referral and Follow-up: The parent has primary responsibility for the type of care and the particular provider to be utilized. The vast majority of parents already have a provider in mind when they make application for service. If a home-based provider has been pre-selected, the Day Care

Specialist either verifies that the provider is already approved or initiates the approval process. If no prior selection has been made, clients are provided with a list of approved providers from which to make their selection.

## 5-3 RESULTS

Time period: 1 month (1 local site)

| | |
|---|---|
| Number of clients seeking child care referral | 335 |
| Number actively assisted | 335 |
| Number securing their own services | unk |
| Number unable to secure services | unk |

# 6. CLIENT ELIGIBILITY

## 6-1 ORGANIZATION

Locus of Responsibility: The policies which govern the definition of client eligibility for all social services, including child day care, are those specified in Title XX. Within this framework, the state elected to serve income eligibles up to 80% of the state's median income.

Providers operating under Purchase of Service Contracts (i.e., some centers) determine eligibility for their clients.

For all other clients, the determination of eligibility is the responsibility of the Area Day Care Specialist. As noted in the previous section, this Specialist handles the entire processing, from intake through the determination and verification of eligibility, to placement.

Level of Effort: It was estimated that approximately 935 full-day equivalents (statewide) were spent processing 3800 applications for child day care in the past year. While the system has functioned adequately, it was felt that additional staff for this purpose would be desireable.

## 6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC-non-WIN
- Medicaid and SSI recipients
- Income eligibles, defined as persons earning up to 80% of the state's median income. Child care is free to all those whose income falls below the 80% cut-off ($763/mo. for a family of four). Full payment is required for all those who earn over 80% of the state median.

Approximately 39% of child care funds have been allocated to cover the cost of child day care for income eligibles.

There are no priorities among those designated as eligible for services. In addition to membership in an eligible category, one of the following conditions must be fulfilled in order to be eligible for child day care services:

1. The client is employed or seeking employment;
2. the child is mentally retarded;
3. the parents are physically or mentally unable to care properly for the child or the environment is not condusive to proper care;
4. death or illness is causing a situation where supervision is inadequate.

Revisions Since the Passage of Title XX: Income limits were raised to 80% of the state's median income whereas previously the state provided services to those whose income fell at or below 200% of the Assistance Standard.

Materials to Ensure Uniform Interpretations: A revised social services eligibility manual was issued in October 1975.

## 6-3 PROCESS AND VOLUME

According to the eligibility manual, "A determination of eligibility is a decision, reflected in records, based on a dated and signed application. This determination must be based on verification(s) obtained from or on behalf of an individual which would lead a reasonable person to conclude that eligibility criteria have been met."

Applications: Standardized forms -- developed by the state and covering household composition, income information and verification, and service assessment -- are in use throughout the state.

Eligibility Determination and Verification: Determination and verification of eligibility is the responsibility of the Area Day Care Specialist.

Approximately 50% of applicants are referred to the specialist by other units within the welfare department (notably by SAU-WIN, SSI and income maintenance workers). In these instances, verification of recipient status may be handled simply by direct contact between the referring worker and the Day Care Specialist.

If the client comes under the income eligible category, employment information and verification (in the form of a pay check, pay stub, or letter from employer) is required. The determination of eligibility can be made immediately if the client has brought the appropriate documentation. If not, he/she is provided with an envelope for sending it in; the determination is made upon receipt of the documentation and a notice of approval or denial is mailed to the client. If required documentation is not received within 30 days, the application is denied.

The time lapse between application and completion of the eligibility determination process ranges from immediately to thirty days.

Approximately 3800 applications were received for child care services last year. The total of all social service applications is not known. About 90% of all child care applicants in Area 25 (Raleigh County) were found eligible. Service may begin as soon as eligibility is determined. In situations where a provider has begun to serve an eligible client prior to the completion of eligibility determination, there is provision for retroactive payment to the date of application, provided that no more than 30 days has elapsed.

Quality Control: The applicant signs a contract agreeing to notify the local Welfare Office immediately if there are changes in income, household composition or address. Quality control units monitor eligibility determinations by reviewing a random sample of records.

Redetermination of Eligibility: Eligibility is redetermined every six months, based on a self-report form which is sent to the client. Clients are given a two week period to remedy ineligibility before service is discontinued. Very often when termination of services occurs, the client is referred to another provider who charges less or the client is aided in finding another job. Respondents indicated that "it seems discriminatory when a client cannot accept a promotion or pay raise because it will make him/her ineligible for child day care services."

Appeals: Clients found ineligible are provided with information about the appeal process (ie, they are given a Hearings Pamphlet). Four service appeals were filed in the past year, including 1 day care appeal which was denied.

## 6-4 PARENT FEES

No fees are charged.

## 7. LICENSING AND OTHER SANCTIONS

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The State office is responsible for the development of licensing standards.

The actual licensing of centers throughout the state is handled by State Day Care Licensing Specialists.

Approval of family day care homes and in-home care providers is the responsibility of the Area Day Care Specialists, who handle client intake and eligibility verification as well.

Staffing: There are two *state Day Care Licensing Specialists who together spend 1 1/2 full year equivalents licensing all of the child day care centers in the state. Their other responsibilities include: 1) monitoring a portion of the 27 local area offices twice yearly; 2) monitoring for civil rights complaince and 3) monitoring for compliance with Title XX. Both have BA's and 6 years of directly applicable experience in social services; they had an intensive two-week orientation to licensing; they receive regular on-going training, and one week of training in licensing. Their authority consists of making action recommendations to a Licensing Board.

In Area 25, there are 5 workers who approved 127 family day care homes and 65 in-home providers during the past year. This occupied approximately 20% of their time (ie, 1 full-time equivalent). Their remaining responsibilities include: 1) caseload management and maintenance, 2) processing client applications, 3) financial reviews and 4) recruitment of family day care home providers. They all have social work or teaching experience and they have received some on-the-job training. They have the authority both to approve and to close down day care home providers.

### 7-2 STANDARDS

Standards Development Process: Center licensing standards were revised in a 2 year process (from 1972-1974) by a state committee composed of parents, soical workers, providers, state office staff and representatives from the departments of fire, sanitation, nutrition and education. After studying federal guides and the licensing standards of other states, the committee drew up child care standards for West Virginia. These were published and reviewed in five public hearings around the state, and thirty days after publication, they became law.

Phase I and Phase II Enrichment standards for center, family and in-home care were developed in 1973 by the state Day Care Office. Phase III Enrichment standards, for centers, were added in 1975.

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*A third licensing specialist, with an M.A. degree in Guidance, was employed subsequent to the site visit.

Content of Standards:

Staff:Child Ratios

Centers:

| Ages | Ratios |
|---|---|
| 3 mos to 2 yrs. | 1:4 |
| 2 to 3 yrs | 1:8 |
| 3 to 4 yrs | 1:10 |
| 4 to 5 yrs | 1:12 |
| 5 to 6 yrs | 1:15 |
| School Age | 1:16 |

Family Day Care Homes:

- No more than six children including the day care provider's own children under 14.
- No more than five children in total, if any children are three years old or younger.
- No more than two children under the age of 2.

The licensing standards for Centers also detail Regulations and Compliance Requirements in relation to facility administration, record-keeping, admission policies, involvement of parents, transportation, program elements, discipline, indoor and outdoor space, equipment, staff, immunization records, and health and safety. There are special provisions for infants, retarded children, night care and drop-ins.

In addition, the state has developed a series of center enrichment standards which are designed to provide a process and a monetary incentive for up-grading the quality of care beyond that required by the licensing standards. Phases I and II of these standards set out additional specific requirements in the areas of health, nutrition, safety, social services, parent participation, staff requirements, and daily program activities. They do not deal with staff:child ratios. Phase III focuses on training and entails a comprehensive series of self-report forms.

A comparable series of Enrichment standards has been developed for home care. In this case, however, there are no separate licensing standards; approval rather than licensing is required and the Phase I enrichment standards comprise the minimum requirements for approval. Areas covered include:

--Day Care Provider Requirements (age and health)
--Admission requirements (ages and numbers of children served)
--Hours of work
--Records
--Health and safety

- --Nutrition and food services
- --Equipment
- --Building and grounds
- --Fire safety
- --Sanitation
- --Discipline

Phase II standards cover the same areas but in greater depth and they add specific programming requirements.

Phase III standards for home-based care include an agreement to meet Phase II standards and to complete an extensive training course.

Comparision of Standards with FIDCR: As providers move up through the Phases in the enrichment program, they move closer to achieving compliance with FICDR in the areas of health, nutrition, social services, staff training, parent involvement and program content.

While some standards fall short of FIDCR--notably in the center staff:child ratios for children over the age of 2--it was stated that they are "as strong as the community would accept." There is no certification process specifically related to achieving compliance with FIDCR; all efforts at upgrading care are linked to the Enrichment program.

It was further stated that the para-professional training program will contribute toward achieving a much higher level of care--and compliance with FIDCR--in home based care situations.

## 7-3 SUMMARY OF ACTIVITIES

| Provider Type | Sanction Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total # | #Sanctioned | %Disq. | Planned | Actual |
| Public Centers | License | 64 | 100%* | 1 | Every 2 years | Every 2 years |
| Private Centers | License | 29 | 100%* | | Every 2 years | Every 2 years |
| Group Day Care Homes | Any facility serving seven or more children is considered to be a center. | | | | | |
| Family Day Care Homes | Approval | 1920 | 100% | | Annual | Annual |
| Relative DCH's | | | | | | |
| In-home (relative only) | Approval | 673 | 100% | | Annual | Annual |

*Of the 93 centers, 30 were issued provisional licenses last year, and provisional licenses are renewed every three months.

Further, although centers are re-licensed only every 2 years, they undergo a review every year.

Fees for Licenses: No fees are charged.

Content of License:

| | |
|---|---|
| Center licenses cover: | Date of issue<br>Expiration date<br>Maximum number of children to be served<br>Age range of children |

Approval certificates for family day care and in-home participation include:

- Date of issue
- Number of children
- Period Valid
- Phase (or level) achieved

## 7-4 LICENSING PROCESS

Areas of investigation: A structured format is used for both initial and follow-up studies of child day care centers. The form contains a series of highly specific items in each of the following areas:

--Board Organization and funding
--Physical facility
--Health and Safety
--Nutrition
--Facility administration
--Staff backgrounds, ages and characteristics
--Staff and children's records
--Transportation
--Program (both regular and special, including night care and drop-ins)

There are also specific regulations pertaining to infant-toddler care and these are included in a separate study format.

In addition, there are structured instruments relating to each Phase of the enrichment program. Each Phase represents a higher level of care and centers may elect to meet these progressively more stringent standards. While a center's license is not jeopardized by failure to achieve the higher levels, the rate of reimbursement they receive is tied to the level achieved.

Structured formats are also used in approving both family day care homes and in-home providers. As noted, the Phase I level of the enrichment program coincides with the minimum needed to secure approval. The areas investigated were enumerated under the section on standards.

The Phase II format covers all of the same areas, but in greater depth.

Phase III for centers is in effect statewide and it entails participation in a training program.

Phase III for family care is only in effect in the pilot areas and it is linked to participation in the para-professional training (pilot) project.

For in-home providers, the format and Phases parallel those for family day care homes: only the items on equipment and program are omitted.

Extent and nature of Process:

Centers: It was estimated that a minimum of seven visits--including those by the Day Care Licensing Specialists, fire marshall andhealth department-are made in the process of completing a center licensing study. The time lapse between the initial study and receipt of the license averages about five months. Centers are re-licensed every two years.

Homes: Approval is required before a family day care provider may receive federal funds. The approval process is generally initiated at the time a client makes application, since most clients have pre-selected their providers. When a new provider is identified, a home study is undertaken; ie, the area day care specialist goes into the home and completes the form by interviewing the provider and making direct observations. Providers must meet all Phase I standards to receive approval. They then have one year in which to meet Phase II standards (although some brief extensions may be granted). Phase III requirements are in a pilot stage and are optional (though higher rates are paid for compliance).

Phase I approval can generally be granted almost immediately; Phase II approval may take 7-10 days; and Phase III approval generally can be completed in one visit (if the provider meets Phase II and is willing to participate in training). The approved Phase is noted on the license.

Conditional Licenses: Statewide, thirty conditional(provisional) licenses were issued last year. The dominant reasons for the providers inability to meet requirements were identified as the cost of meeting fire and health regulations requirements; other areas in which corrective action is frequently required include sanitation problems and lack of medical records on children and staff. At the local level, it was pointed out that family day care providers are most resistant to such small tasks as posting menus.

Follow-up consists of a minimum of four visits annually. The usual time lapse between issuance of the provisional license and first follow-up is 1-1 1/2 months. If the unsatisfactory conditions are still present the provider is strongly urged to comply. A provider may operate for only one year on a provisional license. Last year approximately 20 providers fulfilled all conditions.

Revocations: The actual process for revoking a license is as follows:

1. A recommendation is made to the licensing board.
2. The licensing board votes to revoke the license.
3. The provider is notified of the revocation and of appeal procedures.
4. The provider is given 30 days to appeal and, if requested, a hearing is held after 30 days notice.
5. The licensing board notifies the Attorney General's Office after 30 days if no appeal is made or if the board is not satisfied with the provider's compliance or intent to comply.
6. Funds are discontinued.

Respondents felt that the system would function more effectively if the State Attorney General acted upon the board's recommendations.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

Monitoring of centers is performed by the three state level Day Care Licensing Specialists and three state level Enrichment Specialists. The state licensing Specialists, along with the Director and State Policy Specialist, also monitor the state's area offices.

In addition to monitoring, Licensing Specialists conduct licensing evaluations, while Enrichment Specialists have responsibility for providing T & TA.

Homes (including both family day care homes and in-home care) are monitored by the Area Day Care Specialists. As noted earlier, these workers have responsibility for everything which pertains to home care --including client intake and eligibility determination, provider approval and monitoring.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

| Provider Type | By whom monitored | Percent Monitored | Frequency | Av. Time per unit |
|---|---|---|---|---|
| Centers | State Licensing Specialists & State Enrichment Specialists | 100% | 2-3x/yr | 5 hrs |
| Family Day Care Homes | Area Social Workers | 100% of those serving FFP elig. | 1-2x/yr | 1 hr. |
| In-home | Area Social Workers | 100% of those serving FFP elig. | 1-2x/yr | 1 hr. |

In addition, all 27 area offices are monitored twice a year by the State Licensing Specialists, State Day Care Director and the State Policy Specialist.

### 8-3 PROCESS

Centers: The same highly-structured checklist instrument which is used as the bases of the initial licensing study is used for each subsequent monitoring visit. All of the areas included in the state standards are covered in detail, and health programming and safety are considered the priority areas. Both scheduled and unscheduled site visits are utilized, and individual reports are prepared on each center, identifying the specific areas of non-compliance.

Centers participating in the enrichment program are evaluated against the standards of Phase I, II, or III, whichever is appropriate. Here again, the instruments are standardized and the evaluation or monitoring study is performed by the Enrichment Specialist. Centers are re-evaluated annually in connection with Phase I and Phase II. In Phase III, the centers are required to report to the state monthly and to do a complete internal reassessment every 8 months. Phase III centers are also re-evaluated annually to assess compliance with Phase I and II.

Homes: In monitoring homes, the Phase I, II and III approval/enrichment instruments are used. As noted earlier, these are highly specific formats, with more stringent items added at each succeeding phase. About half of the information is supplied by the provider and the balance is derived through worker observation. Telephone, mail and scheduled site visits are utilized; each home is monitored by an on-site visit at least once a year.

Area Offices: The local area offices are visited, monitored and "ranked" every six months, based on the following criteria: amount and quality of public relations, the percent of homes in compliance with Phases II and III requirements of the enrichment program, the number of checks which are in error and have to be re-issued, the percent of overdue client reviews, record-keeping, and the amount and quality of provider training.

## 8-4 RESULTS

It was estimated that approximately 1/3 of the centers are out of compliance (i.e., operating under a provisional license).

For centers, the most difficult area in achieving compliance is the adequacy of the facility, followed by medicals on staff and children. Follow-up consists of informing the provider about areas of non-compliance and setting a target date for achieving compliance. Most problems were seen as relatively easy to correct and in these instances the worker simply shows or tells the staff what to do to achieve compliance.

If the monitoring study reveals that a center has achieved a higher level (or phase), the area office is notified and the payment rate is increased.

Less than 3% of day care homes and fewer than 1% of in-home providers were identified as being out of compliance. The decision about follow-up activities to be taken in these cases is made by the individual worker.

Findings derived from monitoring homes have also been used as a basis for changing home-based requirements; eg. liability insurance is no longer required and lots/yards no longer need to be fenced.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The three state-level Enrichment Specialists have responsibility for providing T & TA to centers. Two of these staff members have MA's and 1 has a Ph.D; all have strong backgrounds in early childhood education. They divide their time equally between training and technical assistance.

Local: The Area Day Care Specialists who have responsibility for approving and monitoring providers also provide some informal training and technical assistance to home providers in the course of their contracts with them; e.g., aid in completing forms, information on standards, nutrition, planning and program activities. In addition, group training is offered periodically.

Staff Background: A special training program is currently being implemented in four areas, under an 1115 grant. The project has been designed, and in cooperation with FLC, Inc., is being administered by the state day care staff. Direct supervision is provided by Project Day Care Specialists in each of the appropriate area offices. Actual training and on-going technical assistance is provided to home-based providers by "paraprofessional advisors," who are recruited from among AFDC clients and thoroughly trained for their role as trainer/advisor.

### 9-2 ACTIVITIES

Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| State Staff | Region (OCD) | Consultation on licensing standards revision | 2 days |
| State Staff | | Attend national and local conferences (e.g., SAUCUS, NAEYC, CWCA, etc.) | Av. 1 1/2 day per staff per year |
| | | Tuition paid for appropriate college courses | |
| Local Staff participating in the paraprofessional training prog. | State and Family Learning Center | Training sessions on how to give T & TA | 18 month program |

Provider Training and Assistance

| To Whom | By Whom | Description | Amt. |
|---|---|---|---|
| Centers | State Enrichment Specialists | Consultations and seminars on program content, organizational layout of facilities, equipment use | Unk. |
| Approved Home-based Providers | State Enrichment Specialists | Seminars on program content, fire prevention, safety, child development | Unk. |
| | Area Social Worker | Informal Assistance in completing forms, understanding standards, etc. and workshops on varied day care topics | As Needed |
| Selected Home-based Providers in 4 areas (eg, 60 in one area) | Paraprofessional advisors | Comprehensive 18 mo. instruction program in all facets of curriculum for children, plus ongoing on-site TA | Intensive 18 month training program |

The special paraprofessional training program has just entered its second year. Pending the outcome of evaluation studies currently in progress, it is anticipated that the program will ultimately expand to encompass the entire state and will be adapted for centers as well as homes. All respondents expressed the belief that only when this has been achieved will the state's child care training component be fully adequate.

## 9-3 PROCESS

The need for T & TA is identified by:

- --Provider requests
- --Observations made in the course of site visits
- --Changes in regulations

Family Day Care providers were identified as the group most in need of T & TA particularly in the areas of:

- --Understanding children, including child-rearing techniques, emotional relationships with children and discipline
- --Curriculum and program planning
- --Use of equipment
- --Fire and safety
- --Nutrition

Limited instruction in most of these areas has been offered through workshops and seminars provided by the Enrichment Specialist and/or Area Specialists in area offices and centers; home visits are used to a much lesser extent. In the pilot areas, the paraprofessional training program will provide intensive training in these subjects and will do more in the homes themselves.

In general, center staffs have been more receptive to training than home-based providers. This was attributed to difficulties in getting away from the job and securing transportation in order to participate in group sessions which are held away from the provider's own home.

## 9-4 RESULTS

State staff does not personally follow-up on T & TA so that no conclusion could be drawn as to how well the needs were being met. It was felt, however, that home visits are more effective than group training sessions. This is being incorporated in the paraprofessional training program and the outcome of that program is being fully documented through the use of observers.

State staff expressed a desire for added training for themselves; especially in helping special children and updating of methods. They would also welcome additional literature.

## 9-5 PRINTED MATERIALS

"Day Care Is..." : a booklet with photographs and simple narrative about the dimensions of home day care, plus menu tips, crafts from scraps and first aid tips.

"Day Care Enrichment Resources": a collection of articles organized into four main sections: Understanding Children, Program, Parents and Administration.

"Record Keeping" : a record-keeping book for family providers to assist them in preparing income tax returns.

"Directions in Day Care": a newsletter for all providers, issued every other month.

"Licensing Standards for Centers": Available on request.

"Enrichment Standards for Family, In-home and Center Based Care": Available to all providers and others on request.

"Enrichment Files and Reprints": A collection of articles, etc., made available to state and local staff and providers, as requested or needed.

WEST VIRGINIA

Paraprofessional Training Project: 11 Unit Training (modular) program, including booklets, film strips and games on:

1 - Early Childhood Education
2 - Planning
3 - Teaching
4 - Discipline
5 - Community Resources
6 - Parent Involvement
7 - School Age Children
8 - Curriculum
9 - Children's Special Needs
10 - Health, Safety and Nutrition
11 - Administration

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

State: Fiscal management is the responsibility of the Division of Audits and Accounts, under the Deputy Commissioner of Administration. Several members of this division participate in child care fiscal management as part of their overall responsibilities, but no one person is assigned to child care on a full-time basis.

The Division of Audits and Accounts works closely with the Division of Social Services in interfacing policy, program and budgetary considerations. They advise and consult one another, but neither makes decisions in the other's area of responsibility. Internal reporting is the facet of fiscal management which requires most time and effort at the state level.

Local: The area offices function primarily as a clearinghouse for payments to providers. As part of this function, they have major responsibility for checking the accuracy of all invoices. Area day care specialists working under the direction of the Area Administrator, are directly responsible for the providers assigned to them.

The basic procedural sequence in Area 25 is as follows:

--Invoice forms (listing children and hours or days of care) are completed by the providers and submitted to the area day care specialists monthly.

--The day care specialist checks the number of days claimed against the control file card, signs the form and gives it to the unit clerk.

--Unit clerk codes the form for the amount of money and terminal operator transfers information to Charleston over computer terminal.

--Checks are written in Charleston and returned to local office.

--Agency financial secretary checks the check totals against the amount indicated on each invoice.

--The check is mailed to the provider.

### 10-2 FISCAL MATERIALS

Fiscal materials prepared by the state include: Contract forms, attendance forms, provider invoice forms, and audit report forms.

All are rated as adequate.

10-3 INCOME SOURCES

| Source | FY 74-75 | FY 75-76 |
|---|---|---|
| Title XX/IV-A | $3,700,666 (excluding admin. and related costs) | $7,221,872 (including admin. and related costs) |
| WIN | | 572,160 |
| CWS | | -0- |
| Other: CETA | | 292,760 |
| TOTAL | | $8,086,792 |

Title XX and CETA figures are projected to a 12 month base from the 9 month figure included in the Plan.

Virtually all of the local share for child care is provided by the State of West Virginia.

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

| Method | FY 74-75 Expenditures |
|---|---|
| Purchase of Service (contracted for specified number of slots) | $ 156,826 |
| Vendor Payments (contracted for individual children) | 3,543,840 |
| Direct Provision/Operation | none |
| Client Purhcase, with social service funds | none |
| Client Purchase, with income maintenance funds | unknown |
| TOTAL | $3,700,666 |

Description of Funding Methods/Processes:

A. Purchase of Service: As shown in the above chart, the state distinguishes between purchase of service and vendor payments, although formal contracts are used in both situations. "Purchase of Service" is used to describe those situations where a contract is signed with a public or private agency for the purchase of a specified service and number of slots. "Vendor Payments" is used to describe the situation where an individual contract is signed for every family being served by a center, family day care home or in-home provider. The respective expenditures for each of these categories is shown in the chart above.

Since both involve direct purchase from, and payment to, providers, they are here being included under the general caption of Purchase of Service. Using this broader definition, all child care services involving social service funds are used to purchase services. The distribution of these funds, by provider type, is shown below:

| Provider Type | Contracts | | Expenditures | |
|---|---|---|---|---|
| | Written | Comprehensiveness | FY 74-75 | FY 75-75 |
| Centers | yes | Contract includes:<br>--vendor identifiers<br>--child's name<br>--childs birthday<br>--Rates (part day, full day, monthly)<br>--Effective date<br>--Signed agreement to permit visits by DOW representatives and to report changes | $ 585,523 | $ 677,076 |
| Family Day Care | yes | | 1,404,263 | 1,740,480 |
| Care in Relative's Home | yes | | 894,264 | 1,097,928 |
| In-home Care, by relatives | yes | | 816,616 | 837,156 |
| | | TOTALS | $3,700,666 | $4,352,640 |

Contracts with day care vendors, as described above, are signed with all providers or child day care services, including relatives.

The basic procedure for submitting invoices, checking invoices, and making payment on a monthly basis was described earlier. In addition, an area office audit is performed every six months.

Information on changes in care arrangements or client income must be supplied by the provider and/or the client. If these reports or a check of computer data reveal an overpayment, the difference is either collected from the vendor or deducted from subsequent payments.

B. Direct provision: None

C. Client purchase: None with social service funds. The amount which may be included in AFDC grants is unknown.

## 10-5 RATE ESTABLISHMENT

Unit of Measurement: Day, defined as 7 or more hours

| Provider Type | Rates | | |
|---|---|---|---|
| | Basis | Av. | Range |
| Centers | Dept. of Welfare | unk. | \$3.00 - \$5.25 |
| Family Day Care Homes | Dept. of Welfare | unk | \$3.50 - \$4.25 |
| In-Home | Dept of Welfare | unk | \$2.50 - \$2.75 |

Rates are standard throughout the state and the variation between the "low" and the "high" rates is determined by the level achieved. Thus, the distribution of rates for centers is as follows:

| | |
|---|---|
| Base rate (meets minimum licensing standards): | \$3.00/day |
| Phase I compliance rate: | \$3.50/day |
| Phase II compliance rate: | \$4.25/day |
| Phase III compliance rate: | \$5.25/day |

Family day care homes may serve FFP children only if they comply with Phase I standards, so the low rate here is \$3.50. Relatives may care for children in their (the relative's) home at the same rates as Family Day Care Homes.

There are no premium rates for infants, handicapped or other special groups.

Several respondents indicated that they feel all of the rates are much too low. They were, however, established at this level in order to be able to serve all eligible children with available funds.

## 10-6 IN-HOME CARE

In-home rates (\$2.50 - \$2.75 per child per day) are generally below the minimum wage; some providers may earn more than the minimum wage since they are paid on a daily rather than an hourly basis, but most do not. The state cannot afford to pay the minimum wage as a general practice and, as a consequence, all non-relative in-home care has been abolished.

## 10-8 DONATIONS

$4,525 was donated toward the purchase of service contracts in one area. It was raised by a fund drive of a group of churches and businesses in Beckley.

# 1. OVERVIEW

## 1-1 ORGANIZATION

Administrative Model: The child day care management and delivery systems in Wisconsin are county-administered within State established guidelines.

Description of Administrative Structure: The Department of Health and Social Services is a cabinet agency under the direction of a Secretary who is appointed by the Governor. This umbrella agency is composed of seven divisions, two of which - the Division of Mental Hygiene and the Division of Family Services - are responsible for child care programs. The Department of Health and Social Services is the designated single State agency for planning and delivering all social services funded under Title XX including day care. The Department's Division of Family Services administers the income maintenance program and WIN day care. The division of Family Services also is responsible for all aspects of the day care management for non-handicapped children. The Division of Mental Hygiene is responsible for special day care programs for emotionally, mentally, and physically handicapped children.

The Division of Family Services develops policies for licensing and monitoring day care facilities. Day care centers are licensed through Regional Offices (5) of the State Department of Health and Social Services. Family and group Day Care Homes are licensed and certified by the counties. Monitoring is performed by all three levels - State, Region, and County.

Planning, fiscal management, program development, some aspects (primarily policy setting) of licensing/certification/approval, some monitoring (primarily fiscal), and training and technical assistance are the responsibilities of the Division of Family Services. An assistant Administrator under the Deputy Administrator for Operations of the Division of Family Services is the focal point of responsibility for child care in the Division. The Bureau of Program Planning and Development is (as the name implies) responsible for planning and program development. The Bureau of Manpower is responsible for training and technical assistance. The Bureau of Audit and Accounts is responsible for fiscal management and financial monitoring.

The Assistant Administrator previously mentioned is responsible for oversight of licensing/certification/approval and related policies.

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*The Wisconsin site visit was conducted in March, 1976. Interviews were held with State and regional agency staff, and with local agency staff in Dane and Rock Counties.*

The Department's Regional Offices are combinations of the nine administrative districts established by the Governor for planning, reporting, and service organization purposes. Each Regional Office is headed by a Regional Director and is comprised of sub-units of the State agency's divisions. The Regional Office under the supervision of a county liaison is responsible for licensing and certifying day care centers, I & R (shared with county), monitoring, and some training and technical assistance.

Counties are responsible for licensing and certifying family day care homes, information and referral, eligibility determination, monitoring, and evaluation. In summary most day-to-day interaction with clients and providers is at the county level. According to the Assistant Administrator at the State level the State's only function is licensing, although the State also plays a role in the reimbursement process and planning.

## 1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)*

| | Expenditures | Allocations |
|---|---|---|
| | FY 75 | FY 76 |
| Total Social Services Funds (Titles IV-A/XX) | 81,143,063 | 81,963,272 |
| Total Child Care Funds (Titles IV-A/XX) | 10,143,154 | 9,848,326 |
| Percentage of Total Social Services Funds Allocated to Child Care | 12.5 | 12.0 |

* These figures were provided by the Bureau of Audit and Accounting Wisconsin Department of Health Social Services.

The percentage of social service funds allocated to child care in Wisconsin is 12.0%. At the State level data was not available on FTE staff committed to child care programs. FTE staff levels vary from region to region and county to county.

## 1-3 VOLUME OF CHILD CARE SERVICES

| Provider Type | Number Sanctioned* Provider | Number FFP Children (Per ______) | Actual Expenditures FY 75 | Anticipated Expenditures FY 76 |
|---|---|---|---|---|
| Public Centers | | | | |
| Private Centers | | | | |
| Group Day Care Homes | The Assistant (for Day Care) to the Deputy Administrator of the Wisconsin Department of Health and Social Services indicated that due to the transition status of the State's MIS, data in this format is not available. | | | |
| Family Day Care Homes | | | | |
| In-Home Care | | | | |
| Total | | | | |

## 1-4 INFORMATION SYSTEM

Nature of Records:

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative Social Service Case Records | YES | FAMILY | Local |
| Standardized Social Service Forms | YES | FAMILY | State & County |
| Computerized Records | YES | FAMILY | State |

Extent of Data: Narrative case records maintained at the county level vary greatly. A standardized State social service and income maintenance form is fed from county to State and is computerized in a new management information system. The data is basic identification data and no information on needs, achievement or the like is collected.

Data Aggregation: Little summarization presently takes place. With the new computer system it is anticipated that income maintenance, social service, and Title XX analysis for planning and program operation purposes will become a reality. A directory of day care providers and a pamphlet sized State report are all the data aggregation that presently take place. Social service reporting requirements are rountinely met, however staff frustration with the requirements is high mainly due to unavailability of data. This unavailability of data is a function of an MIS which is being installed but is not operating yet.

## 1-5 STATUTES

The primary body of regulation governing day care in Wisconsin is two sections of the Wisconsin Administrative Code: the Day Care Building Code, and the Day Care Licensing Code. These codes were adopted by the Departments of Industry, Labor and Human Relations; and Health and Social Services respectively within statutorily mandated rule making authorities. In some instances cities and counties have their own standards or building codes. Zoning ordinances often dictate certain requirements for day care facilities. At the request of State day care licensing personnel the Division of Health is involved when appropriate, e.g., if a particular center has a day camp, a nutrition program, or food service operation.

A recent cooperative project involving the Department of Industry, Labor and Human Relations (DILHR) and Department of Health and Social Services (DHSS) has resolved a running conflict about building standards, fire safety, etc. The new jointly developed code will be enforced by DILHR and local fire departments.

## 1-6 IDENTIFIED PROBLEMS/STRENGHTS

The following problems/strengths were identified during discussions with State and county agency personnel. It should be noted that these statements, as are the majority of the other information presented in this summary report, are self reports provided by the individuals interviewed. They are not the product of an evaluation or are they judgments made by Unco, Inc. or the regional office.

- Lack of Planning - The State's chief day care administrator indicated that the most serious shortcoming was the lack of an overall State plan for day care. The lack of planning results in poor coordination and direction setting. Personnel in both counties supported this as a key problem area.

- Inadequate Evaluation - State and county personnel indicated that the lack of any evaluation is a problem. Evaluation to date takes the form of estimating demand, or determining why some centers have higher rates (costs) than others. One of the counties was venturing into evaluation but no ongoing evaluation work was in place.

- Centers vs. Client Reimbursement - Staff expressed the opinion that clients rather than centers should be the recipients of reimbursement. It was pointed out that the current system is discriminatory and that other programs like Medicaid and Food Stamps do not dictate the source of services and products.

- A county Director of Social Services indicated that the present system over-emphasizes day care centers when family day care homes or in-home care are often more appropriate.

- One strength of the Wisconsin day care system is the new jointly developed Day Care Building Code which presents some imaginative and flexible approaches to fire safety and the like, according to a Department of Health and Social Services Official. The code recognizes the value of the small operation and makes provision for adequate safety assurances without closing such operations with prohibitive plant requirements.

- An effective Day Care Advisory Committee was cited by State personnel as another strength of child care management in Wisconsin.

## 2. NEEDS ASSESSMENT

No organized needs assessment program has been established at the State level in Wisconsin. At the county level some counties have contracted with 4C's for ad hoc needs assessment. A joint DHSS/Department of Public Instruction task force is examining issues related to Early Childhood Education, and some needs assessment may evolve from this effort. As in other States, needs assessment in Wisconsin is limited to projecting probable participation level in day care programs from preceding budget periods.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

Ongoing Planning: The Bureau of Program Planning and Development of the Division of Family Services of DHSS is responsible for division-wide planning studies. This unit may conduct subject specific planning projects, but is also generally responsible for day care planning and policy analysis activities. As previously indicated, planning at all levels in Wisconsin is primarily restricted to budget development.

Title XX Planning: Title XX plan development is a function of a new Office of Local Plans and Budgets at the Department level directly under the Secretary. A second function of that office is to develop an operational plan for joint budgeting at the county level by Social Services and Mental Hygiene. Thus, a single budget will be submitted by both agencies. Day care, which is provided with Title XX money for children and adults by both agencies (County Department of Social Services and 51.42/437 Boards) will likely show as one item for the county budget. Child care and day care for adults show separately. Thus, the fiscal planning level for Title XX has become departmental, and program planning is a divisional function which is to be combined into a State budget and to impact Title XX State plan. The first Title XX plan covered a 21-month period.

### 3-2 PLANNING PROCESS

Other than the budget process, no planning process has been established for Wisconsin. A planning process is presently being considered for development. For the Title XX plan two State agency personnel were assigned to draft a plan that would meet Title XX requirements using the limited data that was available.

## 3-3 RESULTS

Other than the previously mentioned annual report and directory of providers population demographics and the like are not collected at the present time.

| Areas for Quantification | De-fined | Quanti-fied | Types and Numbers | Compari-son |
|---|---|---|---|---|
| Total number to be served | yes | no | | |
| Population Categories to be served | yes | no | **AFDC-WIN & NON-WIN**<br>**SSI**<br>**Income Eligible** | |
| Priority Population Categories | no | - | AFDC<br>Mentally Handicapped<br>Day Services<br>Day Treatment for Emotionally Distributed | |
| Service Provider Types | yes | no | Centers, Homes, In-Home | |
| Special Provider Attributes (eg, hours of service) | yes | yes | Child ages, days, hours, rates | |
| Geographic Areas | yes | yes | By county | |
| Dollars Allocated for Child Care Service | yes | yes | 11,201,085 | |

Planned Organizational Changes: One outcome of planning done to date in Wisconsin has been the identification of barriers to the development of day care centers. This resulted in the establishment of a new State program to fund start-up costs for centers. No organizational changes were reported by State personnel.

## 3-4 UTILIZATION/IMPLEMENTATION

Implementation may assume inter-divisional or inter-departmental dimensions depending on the nature of the policy or program being initiated. The Day Care Building Code, for example, was implemented by both DHSS and DILHR. The start-up fund program was solely a Division of Family Services function on the other hand. In any case, the Assistant Administrator who is the focal point for day care is responsible for coordinating implementation.

## 4. EVALUATION

Currently no State level evaulation process has been implemented in Wisconsin. Some evaluation is done in selected counties, although this too appears to be the exception. Rock County is undertaking an evaluation project using the Day Care Evaluation Manual produced by the Council for Community Services. The objectives are as follows:

1. Education of the County Board.
2. Needs Assessment.
3. Development of a Self Analysis tool for centers.
4. Evaluation of Profgram Differences and Program Quality

Dane County and Milwaukee contract with 4C's on a limited basis for evaluation work. Dane County for example contracts with 4C's for program evaluation and examination of the need for after-school day care. Similarly, Community Council and United Fund have been involved in evaluation in Green Bay with the assistance of DFS Community Planning and Development staff.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

I & R is a county function in Wisconsin and typically is the responsibility of an intake or eligibility worker. One I & R function performed by the State is preparation of a State directory of providers. This directory is provided to all counties for dissemination as a resource manual by Regional Offices and is also made available to other social agencies.

### 5-2 PROCESS

Assembling Information:

| Provider Type | Systematized | Freq. of Updates | Information Compiled * | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hours | Rates | Avail. |
| Centers | Yes | Constant | Yes | Yes | Yes | Yes |
| Homes | Yes | Constant | Yes | Yes | Yes | Yes |
| In-home | Yes | Constant | Yes | Yes | Yes | Yes |

* County function with exception that State produces a State directory of day care centers by county and region.

Disseminating Information: Information dissemination is not an organized systematic function and varies widely county by county. The primary sources of day care information are the income maintenance caseworkers and word-of-mouth. Some pamphlets are produced and occasional public service announcements utilized. Day care I & R is usually assigned to the day care caseworker who is also responsible for intake and eligibility determination. In most counties this is one individual. It should be noted that Community Action Agencies, 4C's, State, and Regions play significant roles in day care I & R.

Assessing Client Need/Referral and Follow-up: An eligibility and need for day care determination is part of the I & R process during the county's first contact with the potential client. Once these factors have been established the caseworker ascertains the number of children, hours of need, proximity to day care facilities, transportation, preference for center, family day care home or in-home care and so on to assist in making a placement recommendation. This is done even if the client is ineligible for publicly supported day care. Freedom of client choice among eligible providers is a key principle.

The same worker handles I & R, eligibility determination, placement, reimbursement authorization, and follow-up. Follow-up is limited to the commitment, interest, and time availability of the individual caseworker. Every effort is made to follow-up to assure that the client has successfully negotiated the system.

## 5-3 RESULTS

No data is assembled at the State level on I & R. Data at the county level is limited to impressions of particular intake workers: "I think I get about 15-20 calls a week."

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

Eligibility determination following State guidelines contained in a State manual is a function carried out at the county level by county personnel. A social services worker in the county social services agency is responsible for conducting the eligibility determination. Thus, this one individual handles I & R contact, day care application, eligibility determination, placement, reimbursement processing, and follow-up.

### 6-2 POLICY PROVISIONS

Eligible Population Categories:

- SSI
- AFDC (WIN and NON-WIN)
- Income Eligibles (Services are provided to individuals and families whose gross monthly income does not exceed 100% of Wisconsin's median income. From 55% to 100% a sliding fee scale based on family size is used.)

Revisions Since the Passage of Title XX: None

Materials to Ensure Uniform Interpretations: A State manual, combined application (for Income Maintenance, MA, Food Stamps, and Social Services), and procedure handbook for county case-aides are produced by the State to ensure uniform interpretations.

### 6-3 PROCESS AND VOLUME

Applications: Standardized forms for income maintenance and social service application have been developed by the State and are used in all counties. The forms incorporate all necessary family, eligibility, and service information.

Applications are provided by the county social services agency. No aggregation of number of applications processed was available at any level.

Eligibility Determination and Verification: As previously cited elsewhere the State has developed both a special service manual and procedures handbooks for income maintenance programs for county social services workers. The social service manual presents service descriptions, eligibility criteria, etc. for all social services. The handbook provides a step by step procedure for taking applications, determining eligibility information, and processing allocations. The State now views intake as a part of the "access functions"

Eligibility is essentially a function of two criteria: income and need for day care. No income tests are necessary if the individual is an AFDC recipient. In this event the social services worker merely checks to assure that the individual is on the AFDC roll and income eligibility is established. If the individual is not on AFDC then paycheck stubs or other appropriate documentation are used to establish gross monthly income. Publicly supported services are available to individuals with incomes up to 100% of the State median income. Fees are charged for those with incomes between 55% and 100% of the State median income. The fees are on a sliding scale based on income and family size.

Once income eligibility is established a subjective analysis of need for day care and type of day care needed/desired is ascertained. Once both income eligibility and need are established the social services worker proceeds with placement assistance and reimbursement processing.

The time lapse from application to placement and reimbursement varies from 4-5 days to up to 2 weeks depending on verification delays. Reimbursement authorization may be back-dated 30 days in Wisconsin so that, theoretically, a mother could place her child in day care the day she makes application if she and the social services worker are confident of her ultimate eligibility. The number of day care eligible families in the State or at the county level was not available.

Quality Control: Routine or systematized quality control procedures have not been established in Wisconsin. Standardized application forms, the social services manual, the handbook for caseworkers and infrequent training sessions are all addressed to seeking uniformity in application of State regulations. However, no routinized process of reviewing county eligibility determinations by State personnel is in place. The Bureau of Audits and Accounts does perform infrequent audits as one measure of quality control. As in other areas such as needs assessment and evaluation, quality control is limited by the availability of personnel.

Redetermination of Eligibility: The first eligibility redetermination must be within 90 days. Subsequent redeterminations may be at six month intervals. A review of the need for day care and income eligibility is performed using standardized forms, as in initial application.

Appeals: Wisconsins appeal process has long been well established by statute and practices. A legal section under the Deputy Administrator for Planning and Evaluation handles all appeals. Any decision believed to be wrong fully done by the County or State is appealable. The majority of appeals have been for income maintenance. Any new problem is rapidly reflected in the appeals.

## 6-4 PARENT FEES

As mentioned previously a sliding fee scale based on gross monthly income and family size is in place in Wisconsin. The sliding scale is as follows:

### MONTHLY CHARGE SCHEDULE
Effective 11-1-75

| Family Size | % of State's Median Income | Charges for Services Begin After These Monthly Gross Income Levels | Maximum Eligibility Ceilings |
|---|---|---|---|
| 1 | 78% | $ 475 | $ 608 |
| 2 | 72% | 575 | 795 |
| 3 | 66% | 650 | 982 |
| 4 | 64% | 750 | 1169 |
| 5 | 63% | 850 | 1356 |
| 6 | 62% | 950 | 1543 |
| 7 | 67% | 1050 | 1578 |
| 8 | 70% | 1125 | 1613 |
| 9 | 73% | 1200 | 1648 |
| 10 | 76% | 1275 | 1683 |

Day care parents make their payments directly to the provider with the State's share being paid separately.

## 7. LICENSING

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Division of Family Services, Department of Health and Social Services, is responsible for licensing day care centers, and this is carried out in the regional offices. The regional offices also handle certification of centers for compliance with the FIDCR at the centers' or county departments' request. Family day care homes providing care for no more than three children less than seven years of age are not licensed but must be certified by the County Department of Social Services if Federal or State funds are used to purchase care. All child care involving four or more children must be licensed by the regional office of the Department of Health and Social Services, according to the rules regulating day care centers.

Staffing: Licensing workers in the regional offices must have a master's degree or equivalent, with the exception of five area service assistants, who may enter employment with a high school degree and then plans for their progression may be made. In the county departments workers must have a high school education, although most have bachelor's degrees and some have master's degrees.

Each regional office and county department has different staffing requirements based on the volume of providers. The average case load is 40 centers on a statewide basis for regional licensing workers and 75-80 family day care homes for county certification workers. The regional offices and county certification workers make recommendations to the State concerning licensing, revocations and denials of licenses.

### 7-2 STANDARDS

Standards Development Process: In 1971, Wisconsin revised its State licensing standards and included some of the FIDCR in the new rules. Family day care homes and in-home care for less than three children are not covered by the present licensing laws but must be certified if Federal or State funds are used to purchase care. When family day care homes provide care for four or more children, they must be licensed by the Department of Health and Social Services. This situation has been confusing to providers and county certification workers and monitoring is difficult since the number of children in care frequently fluctuates. Because of the number of requests from family day care home providers and licensing and certification workers, the licensing standards are currently being revised by a committee appointed by the Secretary of the Department of Health and Social Services.

The committee is composed of professionals in child development, transportation, nutrition, building codes, and other related areas, as well as parents and providers. Among the major issues being considered by the committee are the development of separate standards for family day care homes caring for more than four children and a revision of the process for revoking licenses for centers.

Content of Standards:

Staff-Child Ratios

| | Ages | Ratios |
|---|---|---|
| Centers: | Infant-1 year | 1:3 |
| | 1-2 years | 1:4 |
| | 2-2 1/2 years | 1:6 |
| | 2 1/2-3 years | 1:8 |
| | 3-4 years | 1:10 |
| | 4-5 years | 1:12 |
| | 5-over | 1:16 |
| Group Day Care Homes: | No rules have been promulgated; ratios for centers apply | |
| Family Day Care Homes: | Same as FIDCR | |

Additional Components of Standards: Wisconsin's day care center licensing standards cover the center's administrative responsibilities, staff qualifications, staff-child ratios, physical plant requirements, provision of meals and snacks, health requirements for staff and children, equipment, and transportation. The standards concerning program qualifications are very general.

Social services are provided by the county welfare departments and in some cases are provided directly in the centers by center staff and consultants. Health services frequently are provided in the centers by local physicians or the local health departments.

Wisconsin's rules for family day care homes and in-home care are taken from the FIDCR. The rules apply to child care in which the services of the provider are purchased by the Department of Social Services; when care extends beyond two weeks duration; and when care is provided on a regular basis by anyone other than the child's parents. In-home standards are covered in the Services to Clients Manual and the Social Services Manual in the section on purchase of service certification.

Comparison of Standards with FIDCR: Wisconsin's licensing rules for center facilities and health practices are more comprehensive than the FIDCR. In addition, all staff who work with children must either have had formal training in child development or a related area or complete a child care course approved by the Department of Social Services. Volunteers must have at least four hours of training in day care programming and procedures before working in the classroom day care centers.

The State rules for day care centers do not have specific requirements for parent involvement, provision of social services, or self-evaluation. Wisconsin's staff-child ratio requirements do not meet the FIDCR.

Certification of centers for compliance with the FIDCR is a separate process over and above the regular licensing process and frequently is accomplished at the same time as the initial licensing procedure.

As stated previously, Wisconsin uses the FIDCR to regulate family day care homes and in-home care. However, homes caring for four or more children must meet the requirements for day care centers.

Although Wisconsin has not conducted a formal evaluation to assess the financial impact of the FIDCR, it is clear that several centers will be affected. In Wisconsin, 42% of the licensed day care centers are also certified. Of the certified centers, only 30% are in compliance with the 1968 FIDCR.

## 7-3 SUMMARY OF ACTIVITIES

| Provider Type | Sanction Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total # | # Sanctioned | % Disq. | Planned | Actual |
| Public Centers | -- | -- | -- | -- | -- | -- |
| Private Centers | License | 813 | 100% | Unk. | 2 yrs. | up to 2 yrs. |
| Group Day Care Homes | License | (included in family day care home total) | | Unk. | 2 yrs. | 2 yrs. |
| Family Day Care Homes | Cert. for 1-3 child. License for 4 or more | 2570 (estimate) | 100% | Unk. | 2 yrs. | 2 yrs. |
| Relative DCH's | Cert. for 1-3 child. License for 4 or more | Information unavilable | | | Constant | Constant |
| In-Home | Cert. for 1-3 child. License for 4 or more | Information unavilable | | | Constant | Constant |

Fees for Licenses: None are charged.

Content of License: The licenses for day care centers and family day care homes include issue and expiration date, number of children to be served, ages of children, hours, days and months of operation, and the category of the license (i.e. whether regular or provisional).

## 7-4 LICENSING PROCESS

Areas of Investigation: In addition to child/staff ratios, caregiver qualifications, health records and nutrition requirements, additional inspections for compliance with the applicable fire, safety and sanitation codes are made. In some locations where local building codes have additional requirements, a special inspection is made by the local official involved.

Extent and Nature of Process: Day care center providers are referred to the regional office, where information containing licensing rules, building inspection request forms and applications are available from a consultant. The consultant also provides information on program and facility development and answers any questions the provider has. After an application has been made, a regional licensing worker is assigned to inspect the center using a standarized checklist that covers organization and administration, personnel, physical plant and furnishings, health practices and nutrition. If the provider is in compliance, a provisional license is issued, and after six months if the provider remains in compliance, up to a two-year license is issued. At least one visit is annually, although four or more visits may be made depending on the provider. If a provider is out of compliance, a provisional license is issued and the worker specifies an amount of time in which to come into compliance, with the length of time depending on the nature of the deficiency. The worker then makes another visit, which may be announced or unannounced. If the provider remains out of compliance, no further provisional licenses are issued unless the licensing worker has reason to believe the provider is attempting compliance. For family day care homes the process is similar except that the provider must meet requirements based on the FIDCR. If she has not previously had formal training in child development, the family day care home provider must take 40 hours of training in child development, after which she becomes certified.

Conditional Licenses: A six-month provisional license may be issued to any center or family day care home whose services are needed but which temporarily is unable to conform to all the State requirements, and provisional licenses are always assigned to new centers. The provisional licenses may be renewed for 6-month periods up to 2 years.

Revocations: Whenever the Department of Social Services is advised or has reason to believe that a day care center is out of compliance with State licensing requirements, the Department has the statutory authority to inspect the premises where a violation is alleged to occur. Licenses may be revoked by the Department if a licensee has violated State law or fails to meet the State licensing requirements. The Department must give day care centers 30 days written notice of intended revocation, and the revocation takes place only if the center remains out of compliance at the end of the 30-day period. The provider has the right to appeal any failure to issue or renew a license or any revocation. The process is the same for family day care home providers.

The Department has the statutory authority to institute prosecutions against non-complying providers has usually been unsuccessful in attempts to do so. Although the District Attorney's Office recognizes that centers may be out of compliance, they have rarely undertaken the prosecutions necessary to put the providers out of business.

This problem concerning revocations of the licenses of unqualified providers is being considered by the committee appointed to revise the current licensing laws.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

The same individuals involved in initial licensing of day care centers are also responsible for monitoring their compliance with State requirements, or with the FIDCR for family day care homes. Although licenses run for 2 years, visits are required twice a year and usually are made more often.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

| Provider Type | By Whom Monitored | Of All Sanctioned | Of All Serving FFP's | Of All Contracted | Frequency | Average Time Per Unit |
|---|---|---|---|---|---|---|
| Public Centers | | | | | | |
| Private Centers | Regional staff and county agencies purchasing services | 100% | 100% | 100% | At least twice a year | 8 hours |
| Group Day Care Homes | Regional staff and county certification workers | 100% | 100% | 100% | At least twice a year | 4-6 hours |
| Family Day Care Homes | County certification workers | 100% | 100% | 100% | At least twice a year | 3-4 hours |
| In-home | County certification workers and county agencies purchasing services | 100% | 100% | 100% | Constant | Varies |

## 8-3 PROCESS

Monitoring visits are conducted to ensure day care center providers remain in compliance with all State licensing requirements, particularly in the areas of physical facilities and staff/child ratios. Visits may be announced or unannounced. In many cases the licensing worker provides training or technical assistance in order to improve the quality of care while she/he is visiting the center, usually at the center director's request.

Family day care home licensing workers keep in close contact with the family day care home providers by telephone and usually visit the homes 3-4 times a year. The contact is informal and is intended to ensure that the provider is only caring for the number of children for which she is licensed.

## 8-4 RESULTS

As stated above, monitoring of day care centers tends to be informal. If in the course of an informal visit a center is found to be out of compliance the center is notified that a formal monitoring visit will be made. However, very few day care center providers are found to be out of compliance and it is generally felt by the licensing staff that the quality of care is good. However, for family day care home providers the situation is frequently different. Providers often are not aware that staffing ratios are different when the children being cared for are Federally subsized and there are problems ensuring that county welfare workers refer parents with Federal fundings to certified family day care homes.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The state office provides some guidance and tehcnical assistance to the regional offices concerning policy matters. All contact with providers is through the regional offices and county departments.

Regional: The main responsibility for training and technical assistance rests in the regional offices. In addition to the in-service training course in early childhood education and additional related course required for day care center workers, and provided by vocational technical and adult schools throughout the State, the regions offer workshops and seminars for interested providers. These may be initiated by the regional office or be in response to providers' request.

Local: County certification staff work closely with family day care providers to ensure their understanding of the procedures and rules. Providers also must successfully pass an approved course which uses a Family Day Care Handbook covering health and safety, nutrition, child development and other areas.

Staff Background: The same staff involved in licensing and certification offer training and technical assistance. Each trainer must be approved by the Licensing Unit in the regional office and must have demonstrated competence, and usually also have a master's degree. Only staff specifically authorized can be used as trainers. The role of the regional is to arrange for trainers, not necessarily to provide training.

### 9-2 ACTIVITIES

The Wisconsin Department of Industry, Labor and Human Relations has arranged a day care apprenticeship training program for potential providers and workers in day care. The course covers practical problems involved in child care and is taught by vocational schools. Arrangements are made with local day care centers to provide in-service training opportunities for people taking the course.

## Staff Development

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| County licensing workers | Regional Office | Initial orientation to ensure understanding of licensing and certification procedures; ongoing consultation as needed to interpret State licensing rules, workshops, seminars and films on areas such as child management techniques and parent relations | Varies |
| Regional and county staff | University of Wisconsin extensions | Formal courses in areas of particular interest to staff, e.g. nutrition, child management techniques, etc. | Varies |

## Provider Training and Assistance

| To Whom | By Whom | Description | Amount |
|---|---|---|---|
| Day care administrators | State Bureau of Audits and Accounts | Workshops on budgeting and accounting related to State and Federal funding | 2 days |
| Family day care home and day care center providers | State Board of Vocational Adult and Technical Education | Course entitled "Young Child I" is taught at technical/vocational colleges, covering child development, nutrition, health, child management, parent relations; required of all staff who work with children and have not previously had formal training relating to child care. | 40 hours |

## 9-3 PROCESS

All persons who work directly with children, both in day care centers and family day care homes, must either have had previous training in early childhood education or child development or take a state-sponsored 40-hour course in child development. The course covers such areas as program activities appropriate for different ages, early childhood education and development, nutrition, discipline, first aid, parent relations, and treatment of handicapped children. The course usually is taught in a local technical college by an instructor approved by the regional office. Outside of the course work in early childhood education and development, arrangements for training and technical assistance to providers are informal and are provided on an as-needed basis, usually at the providers' request. The licensing staff distribute several books and pamphlets in areas such as nutrition, child development and growth, and socialization. Workshops, seminars, special films and discussions are offered from time to time through local technical colleges or university, extensions by the regional offices, or by local child care organizations, and licensing staff and providers are encouraged to participate.

## 9-4 RESULTS

Because of the State requirement for formal training in child development, all providers have at least the one course, sponsored by the State. Beyond that course, however, the amount of training varies greatly. The licensing workers are responsible for making training opportunities available. The licensing staff itself receives some training from the supervisory staff, usually on continual, as-needed basis, and many licensing and certification staff take university-level courses on their own initiative. In addition, some staff attend meetings of HEW Region V staff.

## 9-5 PRINTED MATERIALS

1. Family Day Care Handbook
2. Safe Foods - Division of Health publication

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

State: The Bureau of Audits and Accounts of the Division of Family Services in the Department of Health and Social Services is responsible for fiscal management functions at the State level. The Secretary of the Department of Health and Social Services, with input from counties, regions, and program staff sets budgets for each county. This money is then reimbursed to counties which make payments to specific providers. The State is also responsible for setting minimum/maximum rates, and conducting audits of the counties. The State also reviews any single provider contracts over $10,000/year.

Local: The counties have direct interaction with clients and providers, set rates within State minimum/maximum, and make payments according to caseworker's certifications.

### 10-2 FISCAL MATERIALS

The Bureau of Audits and Accounts has prepared an accounting manual establishing procedures for counties and providers. Some counties issue policy statements to providers on fiscal issues. Others require standardized cost reports which may be used to reduce rates. Generally counties pay "the going rate" for care.

### 10-3 INCOME SOURCES

| Source | Amount FY 74-75 | Amount FY 75-76 |
|---|---|---|
| Title XX/IV-A | 8,121,875 | 9,001,085 |
| WIN | N/A | N/A |
| CWS | N/A | N/A |
| Unmatched State Funds | N/A | N/A |
| Other | N/A | N/A |
| TOTAL | 8,121,875 | 9,001,085 |

## 10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Data is not available in these categories.

| Method | Expenditures FY 74-75 | Anticipated Expenditures FY 75-76 |
|---|---|---|
| Purchase of Service Contracted Facilities | | |
| Vendor-Paid Facilities | State indicates data not available in this format. | |
| Direct Provision/ Operation | | |
| Client Purchase with Social Service Reimbursement | | |
| TOTAL | | |

Description of Funding Methods/Processes:

A. Purchase of Service

- After eligibility determination and verification a county social service worker authorizes a payroll statement to reimburse the particular center chosen for payment.
- The payroll authorization is forwarded to a county payroll clerk who checks the rate for the provider and then makes a payroll entry.
- A single check is written for each provider to cover all public day care children enrolled in that center. Routine edits and double checks are made at this point to assure payment accuracy.
- Audits are infrequently performed by the State Bureau of Audits and Accounts. The biennial budget for 1977-79 requests additional auditors for day care purchase of service audits.

B. Direct Provision

There is no direct provision of child care in Wisconsin according to personnel contacted.

### C. Client Payment

The client payment system is essentially the same as for purchase of service in A. above except that checks are made out jointly to client and provider. Client must provide county with receipt prior to payment for following month.

## 10-5 RATE ESTABLISHMENT

| Provider Type | RATES | | |
|---|---|---|---|
| | Basis | Average | Range |
| Centers | Cost charged private client within State min/max | 7.54/day | $6.30-8.00<br>10.96 High |
| Family Day Care Homes | Flat Rate | .70<br>1.30/hour<br>.25 | First Child<br>Second Child<br>Each Additional Child |
| In-home | Same as Family Day Care Home | | |

## 10-6 IN-HOME CARE

See Chart 10-5

## 10-7 INCOME ELIGIBLES AND PARENT FEES

See section 6

## 10-8 DONATIONS

No third party donations are received at any level from any source

## 1. OVERVIEW

### 1-1 ORGANIZATION

Administrative Model: Wyoming is state-supervised, county-administered, by the Division of Public Assistance and Social Services (DPASS) of the Department of Health and Social Services, the state's umbrella agency. Each of 23 counties has a Department of Public Assistance and Social Services.

Description of Administrative Structure: DPASS, which was designated as the Title XX agency, is headed by an Administrator and has two Assistant Administrators, one for Social Services and one for Management; total staff in the state DPASS offices is approximately 42. A social services specialist has overall responsibility for Day Care and devotes approximately 75% of her time to it.

Fiscal responsibilities are in the Finance Division and the SS Specialist for Day Care has a coordinating function. Within the Finance Division a Fiscal Officer, who also has responsibility for Title XX fiscal matters, controls disbursement of day care monies as allocated by DPASS. Approval of vouchers for vendor payments occurs at the county level, where operations are directed by a County DPASS Director.

Natrona County, CCM study site, is typically organized with an Assistance Payments Section, a Social Services Section, and a County Clerk/Bookkeeper function. Social Services includes a Master Service Unit, 2 Family Service Units, and a Children's Service Unit. This arrangement varies with county size; Natrona County is the second largest by total population, largest by AFDC caseload. Day Care Certification and services for WIN and other work/training cases is in one of the FSU's; the unit supervisor is responsible for certification.

### 1-2 RESOURCES ALLOCATED TO CHILD CARE

| | Allocation of Funds | |
|---|---|---|
| | FY 74-75 | FY 75-76 |
| Total Social Services Allocation | | 3,738,263 |
| Total Child Care Allocation | 413,689 | 746,840 |
| Percentage of Total Social Services Funds Allocated to Child Care | | 19.97% |

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Wyoming site visits were conducted in December and February to the State offices in Cheyenne, and in February to the county office in Casper.

Natrona County will spend $145,849 of its $240,649, almost 61% of its total dollars for child care.

The State allocates less than 2% of its staff; the county allocates about 1% of its total staff of 32. This includes staff for provider certification, social services and fiscal services. Statewide, counties have 6 FTE's doing certification.

Both State and County Staff interviewed considered both dollar and staff allocations for child care to be inadequate for meeting needs.

1-3 VOLUME OF CHILD CARE SERVICES (October 1975 only)

| Provider Type | Number Providers | Number FFP children | Expenditures | |
|---|---|---|---|---|
| | | | FY 74-75 | FY 75-76 |
| Centers and Group Day Care Homes | 50 | 335 | | 15,780 |
| Family Day Care Homes | 276 | 597 | | 35,401 |
| In-home care | unk. | unk. | | unknown |
| TOTAL | 326 | 932 | | 51,181 |

NOTE: The State estimates they served 3,000 children last fiscal year (74-75), and anticipates doubling that number this fiscal year. In December 1975 the State purchased services for 1,000 children at a cost of $56 per child average. These are not unduplicated counts; i.e., if a child changed care plans during a month he could be counted as two children.

It is more indicative to look at Natrona County statistics for calendar year 1975. The County had 2 centers and 64 FDCH's certified as of December 31, 1975. They had 177 children a month (average) in care at a total cost of $119,472.00 or $675.00 per year per child -- with 62 children a month average in centers, 115 children a month in homes. The average cost per child in a center was $80 a month; in homes, $50. The difference is due to the number of children in part-time care in family day care homes.

At the end of FY '75, the state had a total of 190 certified facilities. By the end of the first half of FY '76 there were 327 certified facilities, the majority of them family day care homes. The Natrona County supervisor who certifies facilities did 58 certifications between August 18 and January 31.

## 1-4 INFORMATION SYSTEM

Nature of Records: Narrative social service records and standardized forms are maintained at the local level; forms are also transmitted to the state office.

| Type of Record | Utilized | Primary Client | Where Maintained |
|---|---|---|---|
| Narrative social service case records | yes | Family | local |
| Standardized social service forms | yes | Family | local |
| Computerized records | no | | |

Extent of Data: Identifiers, demographic data, eligibility determination, service plan and delivery methods, as well as service costs, are maintained in the standardized social service forms located at the county level.

Data Aggregation: Counties collect information for transmission to state, retention at county office. Counties are not computerized; state is partially computerized, but any reports that are being generated by the computer are not getting back to counties. State does not anticipate reporting difficulties under SSRR. They presently make annual report to the Governor and a quarterly report to the Certification Board (licensing authority). Counties report arrangements by day care type and number monthly as well as disbursements by dollars and number of children monthly. Aggregate reports are not prepared in counties; the statistical report referred to in 1-3 above was prepared for the CCM study visit.

## 1-5 STATUTES

The Child Caring Facilities Certification Act, Wyoming Statutes 1957, as amended by Session Laws of Wyoming 1971, governs child care in the State. Standards were last amended in 1965. County zoning and building codes affect physical facilities.

## 1-6 IDENTIFIED PROBLEMS/STRENGTHS

From the perspective of the state personnel interviewed, the lack of an adequate number of staff at state level. FIDCR will double costs and eliminate a number of providers if effected as presently written. If pending Day Care Bill (HR 9803) becomes law it will be "an expensive headache." It will require two sets of standards, a great deal of staff training, and will economically affect AFDC children. All of these matters require staff attention at the state level and with only one 75%-time person assigned.

At the county level it was felt that rates paid are too low and their ability to attract good providers is hindered for that and other reasons -- e.g., day care is seen as a "second-class" occupation; there is public resentment toward regulation of day care, and by contrast, staff see law as being weak.

The Children's Services Specialist for Day Care sees obtaining facilities during the present economic situation as one of the most serious problems in day care.

Positive aspects, the number of certified facilities has grown dramatically, largely as the result of going to vendored payments. Since counties assumed the certification study responsibility two years ago, they have come more and more to be seen as a resource of better day care and as an authoritative and knowledgeable service. County staff believe the quality of care has improved and that they have been able to eliminate some really inadequate providers.

NOTE: County Director observed that the Title XX requirement for publication of plan in newspapers should be augmented with radio and TV announcements since a great many potential consumers and clients cannot afford or do not regularly read newspapers.

## 2. NEEDS ASSESSMENT

Wyoming used a Task Force approach for Title XX planning. The Task Force included both county and state staff of multiple disciplines and met on five separate occasions, the first two of which were two-day sessions. Regional DHEW staff were also present.

The Needs Assessment process included output reports from the Management and Social Services Information System, a needs inventory compiled by selected personnel from throughout the state, and results of questionnaires completed by agency staff, contractor and agreement provider agencies, and private agencies and organizations throughout the state.

Separate questionnaires were designed for DPASS personnel, for related agencies and professions, and for consumers (specifically, DPASS clients).

Compilations of the questionnaire results are included as an appendix to the published Title XX plan.

## 3. PLANNING AND IMPLEMENTATION

### 3-1 ORGANIZATION

On-going Planning: Prior to Title XX there was no planning unit per se. The Task Force created for Title XX needs assessment and planning will have ongoing responsibilities.

Title XX Planning: The Task Force was composed of 20 persons. It was estimated that they spent approximately 1200 person hours in meetings of the Task Force in addition to preparation time.

### 3-2 PLANNING PROCESS

Child Care was of major concern in the planning process because it was ubiquitous in the needs assessment and given high priority in resulting services "catalogues." WIN and IV-B were informally interfaced during planning, but WIN populations were not separated from AFDC populations in the published plan. The target number of children to be served in day care was doubled from the previous year as a result of extending eligibility from 150% of AFDC standard to 60% of state median income. The IV-B population to be served did not differ.

### 3-3 RESULTS

| Areas for Quantification | Defined | Quantified | Types and Numbers | Comparison |
|---|---|---|---|---|
| Total number to be served | yes | yes | 6,000 | more |
| Population Categories to be served | yes | no | SSI, AFDC, Income eligibles | more |
| Priority Population groups | no | no | --- | -- |
| Service Provider Types | no | no | --- | -- |
| Geographic Areas | no | no | --- | -- |
| Dollars Allocated for service | yes | yes | $746,840 | more |

Planned Organizational Changes: none.

Other Planned Changes: The State intends to establish rates of pay for day care specific to provider types. Presently center costs are higher than family day care home costs but no pay differential is allowed.

## 3-4 UTILIZATION/IMPLEMENTATION

As of the end of December, expenditures in day care seemed to be running fairly evenly with projections, which indicates that income eligibles are being served at the expected numbers. AFDC population has not changed appreciably.

## 4. EVALUATION

No evaluations have been conducted in the past 3-5 years. Evaluations will be conducted in the summer of 1976.

## 5. INFORMATION AND REFERRAL

### 5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

Information and Referral Services are provided at the State DPASS office by the Children's Services Specialist for Day Care. The Children's Services Specialist prepares a list of certified child care facilities statewide for distribution to County DPASS offices. The list includes only the name, address, and type of facility, and is updated "periodically" (twice a year).

For about three years the state has had a purchase of service contract for Wyoming Information and Referral Service in Cheyenne. It provides multiple social services I & R, including day care, but examination of its statistical utilization summary for August and September 1975 indicates an infinitesimal amount of child care activity.

Virtually all I & R activity in child care occurs in the County offices, where it is formally assigned to the Master Service Unit. In Natrona County one of the Family Service Units carries the major responsibility since the Unit supervisor is responsible for certifying providers once the Master Service Unit has done an initial screening. A Rolodex is set up by school location as well as the listing provided by the state. The listing also includes ages of children served, hours service is available, whether the facility accepts FFP children, and vacancy factor to the extent possible.

### 5-2 PROCESS

Assembling Information

| Provider Type | Systematized | Freq. of Updates* | Information Compiled | | | |
|---|---|---|---|---|---|---|
| | | | Ages | Hrs. | Cost | Avail. |
| Centers | yes | 6 mos. | x | x | | x |
| Family Day Care Homes | yes | 6 mos. | x | x | | x |

*Frequency of updating at county level varies.

Disseminating Information: Posters, media advertising, posting in doctors' offices, listing with Chambers of Commerce and other agencies that have toll-free telephone numbers --all are used to make known availability of I&R service. The Day Care Specialist in state office is active in consumer and public education efforts, and uses newspaper releases as an outreach in addition to speaking before groups.

Assessing Client Need/Referral and Follow-up: Social Workers in Master Service Unit and, especially, Children's Services Unit, work with the client in determining the kind of care needed and what is available. The amount of time spent in assessment varies widely. If care is being arranged which the state will pay for, a service case is opened and a worker assigned. Parent involvement in selecting the provider is encouraged, and the parent is urged to make the actual arrangements. If the inquiry is from a parent or other caretaker seeking information only, the amount of time spent is governed by the quantity of help sought and is generally limited to a fairly brief telephone call. In such cases little assessment takes place.

No records are kept on inquiries. The state estimated 1,400 over a 3-month period; Natrona County estimated 10 a week, which would be approximately 130 in three months. No follow-up is done unless payment by the state is involved, and there is no systematic feedback. A few callers do call back, either to get additional provider names or to report an unsatisfactory contact. In the latter case follow-up might occur.

No figures are available on how many people secured services or were unable to.

## 6. CLIENT ELIGIBILITY

### 6-1 ORGANIZATION

The Title XX Task Force with input from supervisors established eligibility criteria and policies, were published by the state. Establishing eligibility from securing applications through the determination process is the responsibility of county DPASS social workers, primarily those in the Master Services Unit.

### 6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC recipients or individuals whose needs were taken into account in determining the needs of the recipient, including persons who would be eligible if they applied for AFDC
- SSI recipients and eligibles
- Title XIX eligibles (Medicaid)
- Individuals whose family income is less than 60% of the state's median income for a family of four, adjusted for family size
- Individuals whose service goal is prevention or remediation of neglect, abuse or exploitation
- Individuals in need of information and referral

The latter two eligible categories are without regard to income or income maintenance status.

Revisions Since the Passage of Title XX: Prior to Title XX income eligibility was at 150% of AFDC standard.

Materials to Ensure Uniform Interpretations: State designed and published forms are used in all County DPASS offices. There is no manual of policies and procedures; eligibility criteria are published in the Title XX Plan.

### 6-3 PROCESS AND VOLUME

Applications: Application forms are completed generally by MSU social workers in face-to-face interviews with clients. The forms include space for comments and verifications; the top half completed by the client includes reason for application and household information. There is also a space to be filled in by worker indicating the duration of eligibility.

Statistics were not available on total number of applications received for services or on how many or what proportion were for child care. (Wyoming expects to serve 58,800 individuals during its first Title XX program year -- with 40,000 receiving I & R only. Of the remaining 18,800, 6,000 are expected to receive day care. This would indicate a considerable amount of activity in that area of eligibility determination and redetermination.)

Eligibility Determination and Verification: For AFDC, SSI and Title XIX clients eligibility is verified by an inter- or intra-agency cross check. For income eligibles the social worker sees pay stubs or other forms of income verification; more often than not, the process is completed at the time of the initial interview. If not, it is generally within 10 days, although the state allows 30 days. Service delivery begins as soon as eligibility is established.

Figures were not available on the number found to be ineligible initially.

Quality Control: At the time of the CCM study site visits, no quality control procedures had been established; they were in process of being designed. The application form includes a statement that the client is expected to promptly report any changes in circumstances that will affect eligibility.

Re-Determination of Eligibility: Redetermination is required every six months. In Natrona County, tickler files are set up to trigger the redetermination process at the end of the fifth month of eligibility. Clients may become ineligible at any time that their income exceeds the established level if the agency becomes aware of it. AFDC clients who become ineligible are reported by the Assistance Payments Unit if they learn of it before the social worker does.

As soon as ineligibility is discovered, day care payments are discontinued, allowing necessary time for client notification and right of request for fair hearing.

## 6-4 PARENT FEES

There are no fees. This is seen as a problem, with the suggested solution being to go to 80% of median income with sliding scale fee schedules.

## 7. LICENSING

### 7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: Regulation of day care in Wyoming is through a certification process, with the ultimate approval authority vested in a Certification Board appointed by the Governor. It includes one representative from each of the following: DPASS, Department of Education, Division of Health and Medical Services, and State Fire Marshal, with two lay members (providers), and other persons as the Governor deems necessary to comply with federal programs. The Board has designated DPASS to investigate facilities that apply for certification; County DPASS staff conduct the actual certification studies.

The board acts as a review body, and also serves in an advisory capacity to DPASS in all matters pertaining to child care program and certification.

Day care facilities that may be certified are Family Day Care Homes, Group Day Care Homes, Group Day Care Centers, Infant Day Care Centers.

Staffing: Throughout the state, 27 social workers have some involvement in conducting certification studies. Since the majority of them have other responsibilities (in small counties for the full range of social services), it is estimated that this number account for 6 full-time equivalents who average doing 40 home and 10 center studies a year. The ideal was estimated at 25 and 5 respectively; actually, the Natrona County supervisor completed 58 in one six-month period.

Social workers have at least a B.A. degree; some have MSW, and they may or may not have received agency training in licensing. The Natrona County supervisor, an MSW, supervises two social workers and one student in social welfare and is responsible for the WIN program in addition to certification duties.

### 7-2 SUMMARY OF LICENSING ACTIVITIES

| Service Type | License/Appr. Required | Providers | | | Renewal Freq. | |
|---|---|---|---|---|---|---|
| | | Total # | % Cert. | % Disq. | Planned | Actual |
| Centers | Certification | 91 | 100% | unk. | annual | annual |
| Group Day Care | Certification | 45 | 75% | unk. | annual | annual |
| Family Day Care | Certification | 450 | 50% | unk. | annual | annual |

In the past three years only two applicants have been denied certification; an unknown number are screened out or drop out after applying.

Fees for Licenses: none.

Content of Licenses:

- Date of issue
- Expiration date
- Kind of facility

## 7-3 STANDARDS

Standards were last revised in April 1975 to make the format easier to use, to allow for infant day care, and to make physical facilities standards more specific (e.g., number of toilets in proportion to number of children). Those involved in writing the new standards were the Certification Board, the Day Care Advisory Committee, and other providers and consumers.

The process included a public comment period with specific notification to certified providers, applicants, and inquiries. Prior to publication of proposed revisions, the committee received input from licensing workers, as well as groups represented on the board and the committee.

Definitions of Types of Care:

A family day care home serves three to five children; a group day care home serves 6 to 11 children; a day care center serves 12 or more children. There must be at least two staff members to supervise any group of more than ten children under the age of four. When the age group is mixed, the ratio for the youngest group will be used. A second person must be available on a regular basis to assist with any group when needed. An infant center serves 12 or more children under 2.

Staff-Child Ratios

| Centers | Maximum number | Ages | Ratios |
|---|---|---|---|
| | 5 | 0 - 2 years | 1:5 |
| | 8 | 2 - 3 years | 1:8 |
| | 10 | 3 - 4 years | 1:10 |
| | 15 | 4 - 5 years | 1:15 |
| | 20 | 5 - 6 years | 1:20 |
| | 25 | Over 6 years | 1:25 |
| Family Day Care Homes | | Over 3 years | 1:5 |
| | | Under 2 years | 1:3 |
| Group Day Care Homes | | Over 2 years | 1:11 |
| | | Under 2 years | 1:3 |
| Infant Center<br>1:5 ratio; 2 staff members required to be present at all times | | | |

Wyoming does not count the operator's own first pre-school child; however, other pre-school children are counted (not school age children).

The Children's Services Specialist for Day Care estimates that meeting FIDCR ratios would almost double present staffing and that the cost of care would be 1.10 per hour per child. The state now allows .50 per hour. They are presently working out a process to meet FIDCR standards in Family Day Care Homes; this would be in addition to the usual certification process.

The state office was unable to estimate the number of providers who would be willing/able to meet FIDCR. The county certification worker observed that two of the six centers in Natrona County did not want federal dollars because they are church-related and use daily devotionals. It was estimated that about 25% of FDCH's would be able to comply.

## 7-4 LICENSING PROCESS

Areas of Investigation: Administration, including:

- intake policy
- emergency procedures
- fee schedules
- personnel records
- insurance

Other areas include:

- facilities and equipment
- program
- nutrition
- fire marshal's report
- sanitation inspection, if applicable
- medical statement
- operator's references

Extent and Nature of Process: A structured format is provided for use in all facility types. The county worker stated that, although the form is the same, the amount of time involved is greater for centers. When an operator requests certification, the Master Service Unit does a preliminary screening, provides the applicant with medical forms and sends reference forms to names supplied by the applicant. When all forms have been returned the certification worker schedules the inspection visit and completes the process. Elapsed time is generally less than three weeks; exceptions occur when the applicant has not had a recent medical examination, or when the fire marshal does not get inspection done.

Dominant problems in meeting certification requirements from the provider's viewpoint as expressed by the county worker are costs of medical examinations and cost of fire extinguishers. The law requires a decision from DPASS as to certification or denial within 30 days of application.

Provisional Certification: A provisional certificate may be issued for not more than six months to a facility that is attempting to meet standards. Follow-up action dates are set in accordance with specific conditions to be met. The county worker sets the allotted time and follows through. If conditions are not met, payment is not allowed; in extreme cases, where provider continues to operate and refuses to meet requirements, the county attorney can be called in.

Figures were not available on how many provisional certificates were issued. In Natrona County, two certificates were issued last year.

Revocation: The law states that certification may be "denied or revoked for violation of this act or its standards." The county worker was aware of one revocation.

If revocation is recommended the provider is notified by registered mail and given 15 days to request a hearing before the Child Care Certification Board. In an adverse decision the complainant can appeal to a district court.

The same appeal process is offered in the face of denied certification. There have been no appeals in the past three years.

## 8. MONITORING

### 8-1 ORGANIZATION AND LEVEL OF EFFORT

State DPASS does no monitoring of providers; the responsibility is wholly that of counties. The law states that inspection "... at reasonable times and at periodic intervals..." shall take place, but no specific time intervals have been set. Recertification must occur annually for all provider types; other monitoring occurs on an indicator basis, at least in Natrona County.

### 8-2 SUMMARY OF MONITORING ACTIVITIES

No information on quantity of monitoring was available at state office. Natrona County said frequency was dictated by complaints received about a facility, or in the case of centers, a request for a visit. They were not able to provide any quantification.

### 8-3 PROCESS

Process also is dictated by the nature of the visit. The area in question is the one examined; if there are a number of problems a recertification form might be used and a fairly full review done.

### 8-4 RESULTS

Results are not quantifiable.

Comments:

Natrona County certification worker believes there should be two additional full-time positions in day care -- one for certification and one for monitoring. Staff time has been almost fully taken in an effort to increase the number of certified family day care homes, and time constraints have precluded any systematized approach to monitoring.

## 9. TRAINING AND TECHNICAL ASSISTANCE

### 9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The Staff Development section of DPASS has responsibility for providing training to county staff in certification. No specific amount is budgeted for child care training, and no recent certification training has occurred.

The Children's Services Specialist for Day Care provides consultation, makes available films and books that centers can use in their educational component, and periodically sends out a newsletter on resources, available books, conferences, and changes in policies and regulations.

County: Counties are responsible for providing training to providers as well as in-service staff development to social workers in day care. Natrona County has weekly in-service of approximately 2 hours; developmental handicaps was the planned agenda for the week following the site visit. The county was not able to quantify the amount of time spent on child care per se, but felt that it had been very little.

There has been no training for providers since August 1975, and it was not known whether there had been any prior to that time. The Unit was beginning plans to conduct workshops every other month and to have a provider newsletter. The Casper Day Care Center director has offered potential providers the opportunity to observe at the center.

The county budget has no line item for provider training or technical assistance. Social workers in FSU are responsible for day care, carry about 100 cases each, so there is little time for planning and provision of training and technical assistance.

Staff Qualifications: Education and experience of day care staff varies, with every incumbent holding a B.A., and most with related experience, although no child development training is a prerequisite to the position.

### 9-2 ACTIVITIES

Training and technical assistance activities are not quantifiable. The CSS for Day Care estimated 1/8 FTE's time was spent in training relating to child care, and approximately 3 days on technical assistance to providers. The Children's Services Specialist spent an average of 3 days in each county providing technical assistance to staff.

## 9-3 PROCESS

There is no systematized process. The state/county attempts to provide technical assistance to any provider who requests it.

## 9-4 RESULTS

There is awareness at state and county levels that the training and technical assistance process is too informal; that a great deal more is needed, and in fact is being requested by both providers and staff. More staff is necessary along with budgeted money before a structured effort can begin.

The state day care specialist is presently working with state educational institutions to upgrade quality of day care in a number of ways, including a workshop for this Spring. Staff has approached private industry, specifically oil, to obtain matching funds for training costs.

## 10. FISCAL MANAGEMENT

### 10-1 ORGANIZATION

Structure:

State - Fiscal functions are handled by a Fiscal Officer within the Finance Division of the Department of Health and Social Services, in coordination with the Administrator, DPASS.

County - A county clerk/bookkeeper under the supervision of the County DPASS Director handles fiscal matters and processes day care payment vouchers. Budgetary and decision making processes are handled by the Director and the County Board.

Function: DPASS Administration decides what and how much money is to be spent; Finance Division is responsible for orderly and correct disbursement of the money and accounting for it.

### 10-2 FISCAL MATERIALS

A full range of fiscal materials have been developed, largely by program staff with provider billing forms the exception (developed by Finance Division); they were felt to be too recently put into place to be subject to rating. They appear to be working effectively.

### 10-3 INCOME SOURCES

| Source | FY 74-75 | FY 75-76 |
|---|---|---|
| Title XX | $135,000 | $746,840 |
| Title IV-B | $147,765 | unknown |
| WIN | $130,924 | unknown |
| TOTAL | $413,689 | $746,840 |

### 10-4 DISTRIBUTION OF EXPENDITURES

All monies were expended through purchase of services in centers and family day care homes. A small amount was paid for in-home care but that care type has been almost completely phased out. Expenditures by type are reported to the state by counties monthly, but are not aggregated in that fashion because reports have been made quarterly and by in-home and out-of-home only.

Purchase of Service Contracts are done on every day care case. State and counties do not contract with centers for a given number of slots; each arrangement is made individually. Each provider prepares a daily time log which is reviewed and approved by the county. The County forwards it to DPASS Contracts Manager for editing and approval. It is then sent to Finance Division to be vouchered and a warrant issued. Overpayments are adjusted from future warrants.

Counties are audited annually by the State Auditor.

## 10-5 RATE ESTABLISHMENT

All providers are paid at a rate of .50 per child hour, with five or more hours a day constituting full-time care.

Both state and county staff indicated a belief that differentiation in rates should be made depending on kind of care, and that generally Centers should be paid at a higher rate than Family Day Care Homes.

## 10-6 IN-HOME CARE

In-home Care is virtually non-existent.

## 10-7 INCOME ELIGIBLES AND PARENT FEES

Income eligibility is at 60% of median income and no fee schedules have been established.

## 10-8 DONATIONS

No donated funds were used in child day care in FY 74-75.

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